

Standards and Standardisation for Archival Practices in Thailand

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Declaration

'I, Pimphot Seelakate confirm that the work presented in this thesis is my own.
Where information has been derived from other sources, I confirm that this has been
indicated in the thesis.'

Abstract

This research investigates various factors, including standards and standardisation, which have shaped and continue to shape archival practices at the National Archives of Thailand (NAT). It also explores standards or approaches to standardisation that might be suitable for archival practices in Thailand and the perspectives of NAT staff members towards standards and standardisation. The study employs an interpretivist approach with data collected in 2014 from a literature review, interviews (with UK standardisers and NAT archival professionals), and surveys (of NAT users, non-users, and Thai central government ministries). The research results include the development of a “Conceptualised Diagram of Factors Impacting on Recordkeeping Culture” showing that the various factors shaping archival practices at the NAT include recordkeeping legislation, standards and standardisation systems, and the NAT itself (in terms of its status, its origin, recordkeeping culture, mechanisms of performance assessment and quality assurance, archival professionals’ development and attitudes). These factors further include political, economic, IT, and educational factors driven by the phenomenon of globalisation. The results reveal that existing standards at NAT: the Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) and the Standard for Records and Archives Preservation of the National Archives (Fine Arts Department, 2012) are not sufficient for archival operations in the digital age of the 21st century. They suggest suitable kinds of standards and standardisation approaches for the NAT and show that archival professionals at the NAT are aware of the necessity to implement new standards and are not against the ideas of adopting international standards. The findings lead to suggestions for developing the quality of archival practices at the NAT, which include improving the regulatory frameworks and policies for recordkeeping practices, and also active outreach programmes to increase public awareness of archival services.

Impact Statement

In 2013, the Thai National Archives Act 2013 was promulgated focusing on managing all the records and archives of the Thai bureaucracy. The NAT is a major institution that performs its duty according to the Act. Under existing recordkeeping directives and archival standards, traditional archival practices at the NAT are challenged by changing environments in the 21st century. Very little has been done in respect of standards and standardisation of records and archives management in Thailand. Although the National Archives was founded in 1952, the first research relating to the quality of archival services at the NAT was conducted for in 2005. This thesis has examined the quality of archival practices at the NAT in 2014 and has investigated key elements that support or impede the NAT's moves towards improved practice and standardisation. It has identified characteristics of national and international archival standards and has considered the benefits of implementing international standards in the NAT. This investigation of societal and other issues that may help or hinder the adoption of national or international standards in Thai archives and the NAT in particular has led to conclusions about an approach to standards tailored to the target culture and needs of Thai archives, with suggestions about possible methods of implementation.

This study has employed academic perspectives and developed a global and transferable understanding of archival practices in Thailand. The NAT, as a national cultural institution according to the NAA 2013, has considerable significance in shaping communities and the nation's culture because the archival materials in the NAT's collections are linked to both wider history and the public memory of Thai citizens. This is why studying archival practices and the development of Thai recordkeeping standards in this thesis is crucial and beneficial for Thai society. This study aims to contribute a strong thorough knowledge of contemporary principles of records and archives management to support records and archives education and training in Thailand. The interpretation of the author in this work suggests that adopting standards can help improve recordkeeping systems in the public sector because implementing standards can strengthen the quality recordkeeping practices that can sustain and underpin good governance by increasing accountability, efficiency, and transparency, and reducing corruption within the country. Moreover, as the author suggests in this study, Thai archival practices should implement recordkeeping standards so that archival institutions can

work and serve Thai citizens more effectively – this promotes human rights in the form of access to public information in a democratic society.

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List of abbreviations

AC+erm	Accelerating positive change in electronic records management
ACCSQ	The ASEAN Consultative Committee for Standards and Quality
ACFS	National Bureau of Agricultural Commodity and Food standards
ALA	The American Library Association
ANSI	The American National Standards Institute
ARA	The Archives and Records Association
ARMS	The Archives and Records Management Section
ASA	Archive Service Accreditation
ASEAN	The Association of Southeast Asian Nations
BSI	The British Standards Institution
CD	Committee Draft
CDS	The Committee for Descriptive Standards of ICA
CEO	Chief Executive Officer
CUSTARD	The Canadian/US Task Force on Archival Description
DACS	Describing Archives: A Content Standard
DIRKS	Designing and Implementing Recordkeeping Systems
DIS	Draft International Standard
DMSC	Department of Medical Sciences

EAC-CPF	Encoded Archival Context - Corporate bodies, Persons and Families
EAD	Encoded Archival Description
EC	European Community
EDRMS	Electronic Document and Records Management System
EGA	Electronic Government Agency
EGAD	The Experts Group on Archival Description
EGDI	E-Government Development Index
EPA	Environmental Protection Agency
EPI	E-Participation Index
ERM	Electronic Records Management
ETA	The Electronic Transactions Act
FDIS	Final Draft International Standard
FIAF	International Federation of Film Archives
FOIA	Freedom of Information Act
GATT	The General Agreement on Tariffs and Trade
GFMS	Government Fiscal Management Information System
GIOPs	Government Information and Official Publications
GTIS	The Government Information Technology Services
ICA	International Council on Archives

ICA/DDS	The Ad Hoc Commission on Descriptive Standards of ICA
ICA-ISDF	International Standard for Describing Functions
ICO	The Information Commissioner's Office
IDA	Interchange of Data between Administrations
IEC	International Electronical Commission
IFLA	International Federations of Library Associations and Institutions
IMF	The International Monetary Fund
ISAAR(CPF)	International Standard Archival Authority Record for Corporate Bodies, Persons, and Families
ISAD(G)	General International Standard Archival Description
ISO	International Standards Organisation
IT	Information Technology
LOD	Linked Open Data
MAD	The Manual for Archival Description
MARC	MAchine-Readable Cataloguing
MICT	The Ministry of Information and Communication Technology
MoReq	The Model Requirements for the Management of Electronic Records
MSR	Management Systems for Records
NAA 2013	The National Archives Act 2013

NAT	The National Archives of Thailand
NCICT	The National Committee on Information and Communication and Technology
NECTEC	The National Electronics and Computer Technology Center
NHS	The National Health Service
NITC	The National Information Technology Committee
NSTDA	The National Science and Technology Development Agency
OCSC	The Office of the Civil Service Commission
OIA 1997	Official Information Act 1997
OWL	Web Ontology Language
PMQA	Public Sector Management Quality Award
PRONI	The Public Record Office of Northern Ireland
PSO	Thailand International Public Service Standard Management System and Outcomes
QC	Quality Control
QMS	Quality Management System
RiC	Records in Contexts
RM	Records Management
RMOS 2001	Rule on Maintenance of Official Secrets 2001

RPMORM 1983 and 2005 The Regulations of the Prime Minister's Office on
Records Management 1983 and the second and additional version 2005

SAA	The Society of American Archivists
SEAPAVAA	The Southeast Asia-Pacific Audio Visual Archives Association
SMS	Short Message Service
STKS	Science and Technology Knowledge Service
TAR	Thai Academic Reference Database
TC	Technical Committee
TDC	Thai Digital Collection
ThaiLIS	Thai Library Integrated System
TISI	The Thai Industrial Standards Institute
TLA	Thai Library Association
TNA	The National Archives
TPQI	Thailand Professional Qualification Institute
UCL	University College London
UK	The United Kingdom
UN	The United Nations
UNCITRAL	The United Nations Commission on International Trade Law
UNESCO	The United Nations Educational, Scientific and Cultural Organization

US	The United States of America
WTO	The World Trade Organisation

Editorial conventions

The citation system used in this thesis is Elsevier Harvard (with titles) style.

Chapter 1 Introduction

1.1 Introduction

Chapter 1 aims to explain how the author developed research questions, methodologies, and tools to study standards and standardisation for archival practices in a particular context - the National Archives of Thailand.

1.2 Justification

In Thailand, records and archives are now increasingly considered to be significant sources in documenting national history. Records and archives, are defined in the National Archives Act 2013 (NAA 2013) promulgated on 13 March, as containing information showing the facts, history and cultural heritage of the nation. The legislation mandates a system to preserve and protect archives' qualities. A national archive is a place to conserve records and archives and must facilitate public access to information. As a consequence of the legislation, records and archival operations are officially recognised as an area of professional practice in Thailand and are becoming more of a priority for senior management.

According to the Standard for Records and Archives Preservation of the National Archives (Fine Arts Department, 2012), the process of recordkeeping, from acquisition to preservation and access, is a particular and technical operation. The professionals performing this task are required to have specific knowledge of records and archives management. Moreover, records and archival practices need to conform to standards and international principles in order to sustain and protect the intrinsic qualities of the records and archives. Standards are an essential part of the process of professionalisation of the archival role. As a result, the National Archives of Thailand (NAT), the major institution responsible for the management of the records and archives of the Thai bureaucracy and government assumes the duties and responsibilities regulated by the NAA 2013.

In 1999, Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) was published which set out the administrative responsibility of the NAT under the Fine Arts Department to act as a centre of records and archives administration for the whole country. Since then, the NAT has been developing a system of archival practice founded on academic theory and

seeking to establish an effective records management system in government agencies. The NAA 2013 officially assigned the responsibility of preserving the national records and archives to the Fine Arts Department.

However, the traditional archival practices of NAT practitioners under the current directives and standards are challenged by the rapidly changing environment of the present time, especially in dealing with digital records. The changing environment discussed in this research is the justification for this thesis as these factors bringing changes to recordkeeping practices should be acknowledged by professionals in Thailand so that they are better able to respond to them. The archivist's role is increasingly important because archivists must cope with these changes and technological developments directly in terms of information creation, information collection, and information access (Stępnia, 2013, p. 104). Consequently, Thailand needs new mechanisms and new methods to manage information in both paper and electronic environments e.g. the government should set a number of rules and standards for paper and electronic records management with a focus on metadata for records (Liangcheng, 2008, pp. 96–97). From reviewing literature about Thai archives and the author's personal experience in 2010 (during a 2-month internship at the NAT), the author is aware that Thai archival professionals nowadays may not respond to changes adequately. As a result, there are problems with the existing practices. Thus a motivation behind this thesis is to critically consider archival practices at the NAT, with a view to making suggestions for improvements.

Questions have arisen about the benchmarking of effective archival practices to ensure the proper preservation of the national archival legacy. It is crucial to examine whether the standards currently adopted in NAT are still valid and how far they will fit with the changing environment in the 21st century. The author will also consider the extent to which it is possible and appropriate to apply international standards for archival practice (mainly developed in Anglophone traditions) to an archival community outside the English-speaking world. Therefore, a study of the standards and results of standardising archival practices in NAT and its branches is needed to investigate whether adopting standards can help act as a guarantee for a better quality archival practice.

1.3 Research aims, objectives and questions

This research aims to be able to make suggestions for ways in which archival practice at the NAT can be improved. In order to do this, it will consider archival practices at the NAT, with a particular emphasis on standards and standardisation. Whilst standards and standardisation are considered important mechanisms for shaping archival practices at the NAT (including the two current standards in use at the NAT which are the Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) and the Standard for Records and Archives Preservation of the National Archives (Fine Arts Department, 2012)), the research will also seek to identify other factors that play a role in this shaping process. The research questions to be answered include;

1. What factors can be seen to have a role in shaping archival practice at the NAT?
2. What are the perspectives of NAT staff towards standards and standardisation?
3. What are the perspectives of staff and stakeholders of the NAT towards the quality of its archival practices?

1.4 Limitations

The study is conducted within a specific framework and as such it has some limitations, as follows:

1. The majority of the interviewees in this research consist of records and archival professionals at the National Archives of Thailand. The research does not deal with other kinds of Thai archives such as university archives, business archives etc.
2. The main standards discussed in the research are those which relate to the work of the NAT and the focus is on archival practices at the NAT in particular. The extent to which the picture given is therefore representative of Thai archives and archival practice in general is therefore open to question.

3. The timeliness of data in this research (collected in 2014) can only represent the archival practices and phenomena in 2014. The research conclusions (produced in 2018) which were constructed on basis of these 2014 data may contain some elements that may not be relevant to the situation in the NAT in 2018. Hence the timeliness of this research may limit its ability to make broad generalisation from research conclusions.

1.5 Methodology

1.5.1 Research and records and archives practices

Research in this discipline is usually associated with professional practices (Williamson and Johanson, 2013, p. 62), for several reasons as follows.

First of all, research constructs theories and models to provide the frameworks for practices because the research explains the context in which the practices operate (Gilliland and McKemmish, 2006, p. 149). As information professional practices change thus the research helps the practitioners to understand the changes, the problems and the issues in practice. Research also provides solutions so the practitioners can maintain appropriate services to users. In this regard, this research, too, explores and constructs knowledge about recordkeeping and archival practices in a Thai context. The changing environment from traditional paper records management to digital records management has challenged the current practices of the archivists at Thai archives (including the NAT). Hence the results from this research about appropriately adopting or adapting international standards may be useful for Thai professionals to improve their operations.

Secondly, research can produce theory and knowledge in the field which inform practice (Williamson and Johanson, 2013, p. 63) and promotes professional development. Also, research encourages critical enquiry and analysis among information researchers and practitioners. It also allows practitioners to reflect upon and evaluate the theories, literature and practice of the field and their development over time (Gilliland and McKemmish, 2006, p. 149). After doing the literature review, it is apparent that there is only a small amount of literature in Thai and in English relating to records and archives management in Thailand, including the literature relating to standards for archival practices in Thai. Thus this research is a recent

addition and contribution to knowledge about standards and standardisation in Thailand and useful guidance for archival professionals in Thailand.

Thirdly, knowledge constitutes the profession and engages the questioning process that allows the profession to grow (Pickard, 2013, p. xv). Research supports professionalism since high quality research maintains and improves the status of the profession. Moreover, research facilitates standardisation, planning and assessment by identifying and building benchmark data within and across research communities locally and globally (Gilliland and McKemmish, 2006, p. 149). This research studies standards in Thai archives and also standards in the international community, so it creates the relationship between local and global archives communities which are bonded by standards development and implementation.

Finally, research is vital for professionals in the age of accountability and can be used in policy making and to justify funding (Williamson and Johanson, 2013, p. 62). This research may be used for records and archives institutions in Thailand who consider applying elements of the international standards produced by global archival organisations. With this in mind, information professional practices and research become associated closely because the rapid changes that happen in society have an effect on information service institutions i.e. libraries, archives, records centres, museums, etc. "The information services we offer, the information products we develop and sell, the information systems we design and implement, are undergoing rapid change. So, too, is the society in which we operate. We have a continual need to determine what is happening, how it is changing, how it will affect our places of work, how it will alter the services we offer. Change and its ramifications is the most important reason why research is necessary, and why it is here to stay" (Williamson, 2002c, p. iii).

In term of records and archives management, archival studies is a very old discipline associated with the study of palaeography, law, and diplomatics whereas recordkeeping is a new discipline involved with social science, law, and history. The changes in society have affected records and archival services, especially the emergence of electronic records in the digital age which challenge and question the applicability of existing traditional theories, principles, and practices in the records and archives profession (Williamson et al., 2002a, p. 17). McKemmish and Upward (1993) discuss the example of the Australian recordkeeping community where there

are considerable concerns about the quality of recordkeeping in digital environments related to issues of reliability, accessibility, and accountability of online transactions and services, the continuing value of digital records to society, the persistence and accessibility of these records. Moreover, McKemmish and Upward (1993) point out that lack of controls, frameworks and standards are a cause of these problems (Williamson et al., 2002a, p. 17).

In Thailand, although the context and the social background may be different from Australia, the recordkeeping tradition faces similar issues to those found elsewhere since we all live in a technology and business-oriented world that challenges the role of archives in the digital society and this impacts all of us internationally. This is why research is important for the advancement of records and archives practices generally and this research in particular seeks to explore issues about the quality of recordkeeping practices in Thai archives and suggest some solutions.

1.5.2 Methodologies, methods, and techniques in records and archives management

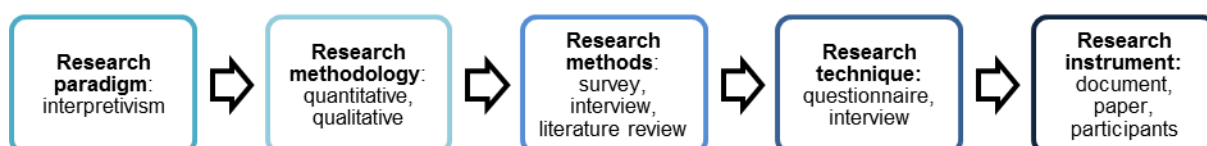
Methodologies are the epistemological paradigms, the normative assumptions and ontologies which frame our approaches to knowledge and to investigation of the world (Williamson, 2002c, p. 92). A methodology is the entire framework or design of the research which includes the choice of paradigm, methods and techniques to be used to answer research questions and to construct knowledge (Williamson and Johanson, 2013, p. 4).

In records and archives studies, there are two prevalent models. Firstly, the set of ideas formulated about archival science since the Enlightenment and influenced by modern, scientific thinking and positivism - the concept that the archives are unconscious and therefore objective by-products of bureaucratic activity. The records follow a predictable lifecycle and custody is integral to archival management (Williamson, 2002c, p. 92). Secondly, the Records Continuum approach which is influenced by postmodern thinking. The Records Continuum approach allows for broad definitions of what is a record and for postcustodial, postcolonial notions of the Archive. It is the concept that recordkeeping is a continually interacting and evolving set of contingent activities with individual, institutional and societal aspects (Williamson, 2002c, p. 92).

In terms of research methods and techniques, according to Sue McKemmish and Anne Gilliland, there are three groups of methods used to examine complex and emergent phenomena in the archival multiverse (Williamson, 2002c, p. 92). First of all, the general research methods and techniques used in humanities, social sciences, computing and information sciences can include action research/participatory action research, case studies, constructivist grounded theory, content and discourse analysis/concept analysis, historiography, surveys, interviews and focus groups. Secondly, the adapted research methods and techniques borrowed from other disciplines but adapted and extended for records and archives research including bibliometrics and sociometrics, ethnography and ethnology/ethnography of the archive, metadata modelling, mapping, systems analysis, design and development. Finally, the unique records and archives research methods and techniques developed out of archival theory and practice including archival theory and model building, diplomatics/contemporary archival diplomatics, functional analysis, and literary warrant analysis.

Of these, the author chose the general research methods and techniques, specifically document research, surveys and interviews. In these ways, a mixture of qualitative and quantitative data was collected. The research design is important because it shapes the nature of the research and it influences the research findings (Pickard, 2013, p. xix). The plan for doing the research started with reading and studying how to undertake academic research in Information Studies, and then designing a framework for the research. The methods used for this research are based on the research questions, the aims of the research, and outcomes expected, as outlined in the figure below.

Figure 1-1 The research hierarchy (adapted from Pickard, 2013, p. xviii)



1.5.3 Research paradigm: interpretivism

The definition of a research paradigm given by Thomas S. Kuhn in 1970 is “a set of interrelated assumptions about the social world which provides a philosophical and conceptual framework for the systematic study of that world” (Williamson and Johanson, 2013, p. 5). The choice of the research paradigm implies the research methodology because a paradigm is an individual’s view of the world that dictates the nature of the research that the researcher engages with (Pickard, 2013, p. xviii). The author decided to apply interpretivism as her overarching research paradigm.

The origin of interpretivism emerged from hermeneutics, which is an intellectual tradition originally relating to the interpretation of texts but later to social life. The approaches of interpretivists share an interest in human being’s meanings and experiences (Williamson and Johanson, 2013, p. 9). Interpretivist researchers believe in the role played by people thus the research of the interpretivists aims to understand how the various participants in a social setting construct their world. Interpretivist researchers are aware that people invariably have different perspectives so researchers have to deal with “multiple realities” and it can be difficult to understand each other’s perspectives (Williamson and Johanson, 2013, pp. 9–10).

McKemmish and Gilliland (2006, pp. 166–167) explain that the research paradigm of interpretivists is closely associated with inductive reasoning that moves from the particular to the general (for this thesis, from archival practices at the NAT to other Thai archives). Qualitative data giving full pictures of particular instances are collected and analysed including the use of purposive sampling. In an interpretivist’s view, “social reality is socially constructed and social reality exists as part of human experience, any characteristics of an object that can be known result from human subjective and inter-subjective meaning-making and interpretation”, thus the interpretivist paradigms are based on subjectivist and relativist assumptions (Williamson and Johanson, 2013, p. 121). For information studies, the paradigm of interpretivist research studies a subject, such as knowledge on something, information about something, in a context. The author attempted to construct an interpretive understanding of a complex social phenomena including its meaning, nature, role and effects in social life (i.e. standards and standardisation and archival practices) by explaining and understanding the phenomena from the participants’

points of view and analysing participants' values and feelings relating to those phenomena, including interpretation by the author and her participants (Cecez-Kecmanovic and Kennan, 2013, p. 121).

1.5.4 Triangulation

To establish rigour in interpretivist research, Guba (1981) proposes four constructs for assessing "the trustworthiness of naturalistic inquiries", considered to be comparable to those used in positivist research (Williamson and Johanson, 2013, p. 14). Similarly, McKemish and Gilliland mention issues of reliability and validity in the research design, whether the research is quantitative or qualitative, "along with issues of generalisability in positivist frameworks, and transferability in interpretivist ones are closely associated with the degree of rigour in the research" (2006, p. 172).

Table 1-1 Comparison between the four constructs concerning the trustworthiness of the research

Egon G. Guba (Williamson and Johanson, 2013, p. 14)	Sue McKemish and Anne Gilliland (2006, p. 172)
1. Credibility is the equivalent of internal validity. Credibility is to ensure that the research findings and interpretations actually reflect the multiple realities of participants.	Validity refers to the degree to which the research design is accurately measuring what it is designed to measure.
2. Transferability is the equivalent of external validity. When there is a similarity between contexts, this indicates that some research findings may be transferable.	Transferability relates to the extent to which the findings of one study can inform understandings of similar phenomena in different contexts.
3. Dependability: comparable to the positivist construct of reliability where consistent, stable results are obtained over time, focuses on the fact that, with the acceptance of multiple realities and varying contexts, there will be variance but that this must be tracked and explained. For this to happen, research design must be reported in detail.	Reliability refers to the extent to which a measure, repeatedly taken, will yield the same result, and is one necessary component of validity.
4. Confirmability is comparable to objectivity of positivist research where the researcher is independent of the research's subjects or objects. The interpretivist researcher regards the researcher and the participants as interrelated; therefore the researcher has to establish that the research findings are not the results of their bias, interests and perspectives.	Generalisability refers to the extent to which the findings and conclusions of one particular study can be applied to other similar situations or settings, or the population at large.

To establish trustworthiness and rigour in this thesis, triangulation in the four constructs is achieved by using multiple methods of data collection, using multiple sources of data, and theoretical constructs. Triangulation is used as a tool to investigate different aspects of the same event or phenomenon and to reduce bias in the research (Gilliland and McKemmish, 2006, p. 172). There are two types of triangulation.

The first type is methods triangulation. The triangulation established by checking of the consistency of findings by using different methods; which might be all quantitative, all qualitative, or a mixture of quantitative and qualitative. In this research, the author used different methods for the advantage of methods triangulation is that the strengths of one method can offset the weaknesses of another. This should minimise the gap in the research methodology as much as possible. For example, the surveys might not provide in-depth data about the archive service quality but the interviews could fill in missing points and provide more details about the quality. The data collected from more than one method and from more than one source about the subject provided triangulation and as a result, the conclusions drawn from the data were likely to be reliable (Williamson et al., 2002b, p. 36). For instance, to gain information about the quality of the current archival practices of the professionals in the NAT, the author collected data about the quality of practices through surveys, interviews, and other sources such as user statistics, etc. Thus the author cross-checked the information from different methods to establish firm conclusions about the quality of the practices in Thai archives.

The second type of triangulation is sources triangulation, which is cross-checking for consistency of information derived at different times and from different participants (Williamson et al., 2002b, p. 36). For example, information about the users of the NAT can be found in different sources e.g. past research about users, the results of this survey, and the user statistics of the NAT. Therefore, the author can compare and see the difference or the bias of this information and appraise the reliability of the sources before using them to draw conclusions.

1.6 Research methods

Research methods are a strategy or the overall approach, which is the bounded system created by researchers to engage in empirical investigation about a subject (Pickard, 2013, p. xix). Research techniques are the approaches carried

out to collect the data or the ways to harvest empirical evidence from the source which are applied within the method (Pickard, 2013, p. xix). The research instrument or data collection instrument is the device designed to collect the data that is necessary to answer the research questions or to provide insight about the subject. This section discusses the research methods, techniques and instruments used in this study. This section shows that the author was aware of the limitations inherent in defining a research population and in applying sampling techniques. The author considered how the issues of the research sampling might have an impact on the research findings and the possibility of generalising from those findings.

1.6.1 Ethical considerations

At the outset of the research, the author wrote a research plan and considered the UCL ethical, legal, and policy requirements for conducting the research. According to the UCL Research Ethics Committee, “all research proposals involving living human participants and the collection and/or study of data derived from living human participants undertaken by UCL staff or students on the UCL premises and/or by UCL staff or students elsewhere requires ethical approval to ensure that the research conforms with general ethical principles and standards” (University College London, n.d.). The author was aware that this research involved interaction with living human participants because the collection of data derived from living human participants e.g. interviewing Thai and UK participants and asking people in Thailand to complete questionnaires. To carry out ethical research, the author attended the courses relating to how to do the research properly provided by UCL. The author made sure that this research was conducted ethically to minimise the risk of harm by protecting the participants who were very generous to join this research voluntarily.

The author checked the requirements and found that this research was low risk as it fell under a number of exemptions (University College London, n.d.). Firstly, the participants in this research were not classed as vulnerable (children and young people, those who lack capacity) or sensitive populations.

Secondly, the surveys and the interviews were low risk due to the fact that the questions in the surveys and interviews were not sensitive and the data collection methods (surveys and interviews) were unlikely to cause distress to the respondents or the participants.

Thirdly, the data used in the research was completely anonymous. Although the author did hold personal information for some participants, it was agreed that they would not be identified in any resulting publications.

Fourthly, one type of exemption was for service evaluation which did not involve access to or collection of private or sensitive data (University College London, n.d.). The questionnaire in this study, gathering the opinions of users/non-users towards the NAT fell into this category.

Table 1-2 The exemptions in this research according to UCL Research Ethics Committee

	Thai participants for interviews	UK participants for interviews	Questionnaire 'Records and archives operation in government agency'	Questionnaire 'Opinion of users towards the National Archives of Thailand and its branches'	Questionnaire 'Opinion of non-users towards the National Archives of Thailand and its branches'
type of information	opinions about standards, standardisation and archival practices	opinions about standards and standardisation	descriptive information and personal opinions about record keeping	Service evaluation	Service evaluation
how the data were used in theses	mention the job title and group	mention job title	mention ministry, division	completely anonymous	completely anonymous
personal data	Job title, group in the NAT	Job title	Current position, Name of Ministry, Department, Division level of education, working period, contact detail	age, level of education, status (student, teacher/lecturer, researcher, academics), frequency of use/visit to the NAT	age, level of education
damage and distress	x	x	x	x	x
sensitive questions	x	x	x	x	x
vulnerable populations	x	x	x	x	x

As a result of these exemptions, the author was advised that approval from the UCL Research Ethics Committee for this research was not required, only Departmental approval was needed, for example, of the consent forms used for interview participants, see Appendix 6 and 7.

For the questionnaires, the author stated that the data would be treated confidentially. For example, in the questionnaire “Records and archives operation in ministries” the cover letter declared that “information provided will be managed in a strictly confidential manner and all respondents will not be identified by name. Please kindly return the completed questionnaire in the provided postage paid envelope before 31 January 2014. Should you have any queries regarding this survey, you are welcomed to contact me at p.seelakate.11@ucl.ac.uk. I thank you for your contribution to this research”. Additionally, the last part of the questionnaire, see below, emphasised that all information provided by the respondent would be treated as strictly confidential. (See Appendix 2 for the full details)

3. Personal information
Finally, I would like to ask a few questions about you to help interpreting the results. All information provided by you will be treated as strictly confidential.

1. Current position _____
 Name of Ministry _____
 Department _____
 Division _____

2. What is the highest level of education that you have completed?
 (Please tick one box only)

Level of Education	Field of study
<input type="checkbox"/> Senior High School	
<input type="checkbox"/> Vocational Certificate	
<input type="checkbox"/> High Vocational Certificate	
<input type="checkbox"/> Technical Certificate	
<input type="checkbox"/> Bachelor Degree	
<input type="checkbox"/> Master Degree	
<input type="checkbox"/> Doctor of Philosophy	

3. How long have you been working in this position?
☐ 1 – 5 year(s) ☐ 6 – 10 years ☐ 11 – 15 years
☐ 16 – 20 years ☐ more than 20 year(s)

4. Are you willing to be interviewed for any further data collection in this research?

1.6.2 Research methods and techniques: Document research and literature review

Investigating the literature at the beginning of the research helped the author to become familiar with the “state of knowledge” of the subject (Pickard, 2013, p. 34). It made her aware of the background and context of the research e.g. records and archival principles, standards in records and archives management, recordkeeping systems in Thailand, etc. The literature review also informed, educated, and even inspired the author e.g. reviewing the development of archival

practices in Thailand made the author want to encourage and sustain current practices in Thai archives and to improve the quality of those practices in the future by implementing international and Thai standards.

A thorough search of literature also enabled the author to identify the gaps in the field and in previous research. Hence, the author wanted to fill those gaps by generating new knowledge or formulating a new theory in this field (Williamson, 2013, p. 40). For example, there is a lack of research about records management in the Thai public sector and the adoption of international standards may offer solutions to Thai recordkeeping practices. As the production of new knowledge is fundamentally dependent on past knowledge, the literature review played a vital role in the research process, including establishing background and context, guiding theoretical and methodological directions, and writing-up (O'Leary, 2004, pp. 66–67). For instance, reviewing previous research concerning usage and users of the NAT, allowed the author to use that information to triangulate and compare with the primary data collected in this research. Reviewing the literature helped to refine the research questions and reading reports and past research offered valuable insight into appropriate design features for research methods e.g. designing surveys and selecting appropriate sampling (Williamson, 2013, p. 40). Finally, the literature review was central to the process of writing-up as it justified and formed the answers to research questions, providing a clear rationale to support the research.

1.6.3 Process of document research

The first step was to scope the boundary of the research and to set a research theme. The process of document research involved examining various Thai and English sources to establish basic knowledge on the research topic and to discover the gaps that should be studied further.

A number of historical and contemporary documents were consulted ranging from articles, books, theses, biographies, manuals, standards, official reports and government publications, to legislation. For triangulation, the researcher used the data from these sources in conjunction with the results of her surveys and interviews (Labovitz, 1971, p. 184). Two main groups of sources were consulted. The first group consisted of the original texts of standards that were published by standard setters or other authorities and these were used to analyse the details, specifications, and functions of the standards. This group included government

documents (e.g. the Industrial Products Standards Act 1968 (the milestone of official standard and standardisation in Thailand) and institutional records (e.g. standards published by the Thai Library Association, standards created by the NAT, etc.). The second group consisted of case studies from reports, articles, and masters and doctoral dissertations about the application of existing standards in Thailand and worldwide in order to explore the level of effectiveness, the rate of success, the benefits and problems of current standards implementation. This group was categorised into two sub-groups: studies that dealt with Thai institutions implementing national and international standards, and studies of international archival institutions applying international standards.

The second step, after taking courses run by UCL on how to use academic resources for research in Humanities and Social Sciences, was a more systematic review of Thai literature, using the three main Thai databases for academic collections. The researcher used both Thai and English keywords and systematically browsed the lists of search results, identifying relevant literature by reading the abstracts and tables of contents. Examples of the search results achieved are shown in Appendix 1 Examples of literature search results. Further details of the three databases are given below.

1. Thai Thesis Database, National Science and Technology Development Agency [<http://www.thaithesis.org/>]. The Thai Thesis Database was established in 2002 by the Science and Technology Knowledge Service (STKS), under the National Science and Technology Development Agency (NSTDA), Ministry of Science and Technology, until 2007 when ThaiLIS served as a union catalogue of thesis and dissertations of every institution in Thailand.

	English keyword	Thai keyword
Standard in Title	442	523 (misspelling 3)
Standard in Keyword	148	76 (misspelling 6)

2. Database of Research Library of National Research Council of Thailand [<http://www.riclib.nrct.go.th/index.html>]. Database of Research Library of National Research Council of Thailand is a union catalogue of Thai research and reports.

	English keyword	Thai keyword
Standard\$	43	414

3. Thai Library Integrated System (ThaiLIS) = Thai Digital Collection (TDC) | Union Catalogue (UC) | Thai Academic Reference Database (TAR), Office of Higher Education Commission [<http://tdc.thailis.or.th/tdc/>]. The Thai Library Integrated System (ThaiLIS) is based on the Thai Thesis Database (1 above) created by the National Science and Technology Development Agency. ThaiLIS is managed by the Office of Higher Education Committee and links five networks: union catalogue of academic libraries, Thai digital collections, Thai academic reference databases, eBooks, and automatic academic libraries.

Keyword	English	Thai
Standard in Title		2567

For English texts, the author searched through UCL Library catalogues and databases, particularly focusing on journals in records and archives management and saved search results in the e-shelf on her personal account for further use. Search strategies employed included searching information studies subject databases, browsing relevant records and archives subject headings, using text-word searching and looking through reference lists, without searches limited to Thailand or Thai language. The author categorised the literature found in the search results, by theme and stored it in Zotero for reference. There were older references in the bibliographies of articles, and for those books not found in UCL libraries, the author went to the British Library.

1.6.4 Limitations

Collecting secondary data to provide the background and set the context of the research (e.g. recordkeeping tradition in Thailand, archival practices in Thailand, Thai and international standards, etc.) was very important but it was not as easy as the author expected. In particular, problems were encountered due to a lack of literature about Thai archives, and difficulties with locating and accessing Thai sources e.g. the links in the Thai Thesis Databases were sometimes broken and to gain access to the actual theses it was sometimes necessary to send requests for the hard copies from regional libraries. Requests also had to be sent to governmental bodies to access some of the information required.

As a response to this lack of information, searches were undertaken on international standards adoption in Thailand more generally and this produced a larger body of information, especially with regards to the industrial and business sectors. This information was difficult to analyse however, as there were mismatches in terminology, and the context was very different from that of archival practices.

The most important thing concerning collecting secondary data was authenticating the source, assessing the credibility of the sources and gauging how representative the data were. Therefore, triangulation by comparing the secondary data to primary data or by comparing the secondary data from different sources helped identify bias and inaccuracies. The comparison also revealed the different interpretations of each source about the same event. Other information to answer the research questions relied greatly on collecting the primary data because there were few published sources about the Thai archives and the implementation of records and archives standards in Thailand.

Finally, some of the MA dissertations used as sources dated back ten years or even longer. It was questionable therefore whether data from these sources could be taken as representative of the situation at the NAT in 2013 – 2018. The author was aware that there were these factors when reviewing literature, especially Thai dissertations about archives management, which provided useful insight about the NAT in many aspects. However, the author was cautious when using data from MA dissertation in this research, given that these sources were limited in their view and timescale and were not usually corroborated by other published sources.

1.6.5 Research methods and techniques: Survey

The purpose of a survey is to collect and analyse data by questioning individuals who are either representative or the entire of the research population (Pickard, 2013, p. 111). Survey research aims to, firstly, study relationships between specific variables identified at the beginning of the research and stated as either a hypothesis or a research question and, secondly, to describe certain characteristics of the research population (Pickard, 2013, p. 111). There are two types of surveys as follows.

The first type is descriptive or status surveys. The main purpose of a descriptive or status survey is to describe a particular phenomenon, including its current situation, its properties and conditions (Tanner, 2013, p. 147). Descriptive or status surveys aim to describe a situation or look for patterns within the research samples that can be generalised to the defined research population or to a larger population (Pickard, 2013, p. 112). They are primarily concerned with fact gathering, enumerating and describing (Tanner, 2013, p. 147).

The data gathered from descriptive or status surveys may be basic demographic information such as age, socio-economic status, and gender or more personal information (O'Leary, 2004, p. 153). The data involved can take the form of a combination of measurements, counts and brief narratives and are analysed using descriptive statistics e.g. measures of central tendency and standard deviation (Pickard, 2013, p. 112). The surveys carried out in this research had some parts in the questionnaires which could be regarded as descriptive or status surveys as shown below.

Table 1-3 The descriptive variables of the surveys

	Records and archives operation in ministries	Opinion of users towards the NAT and its branches	Opinion of non-users towards the NAT and its branches
Descriptive variables	<ul style="list-style-type: none"> - How the recordkeeping system was in the ministries - What legislation and rules the ministries applied in records management in their workplace - etc. 	<ul style="list-style-type: none"> - How often the user visited the NAT on average - What kinds of archival services the users mostly used at the NAT - etc. 	<ul style="list-style-type: none"> - Why they did not visit the NAT What archives were in the eyes of the people who never visit the NAT - etc.

The second type is an explanatory or analytical survey. Although the explanatory or analytical surveys gather descriptive data, they aim to probe further than descriptive surveys by building more complex understandings and going beyond description, or even correlation, in an attempt to determine cause and effect relationships but without experimental manipulation (Pickard, 2013, p. 112), (O'Leary, 2004, p. 153). Explanatory or analytical surveys try to explain how and why and to explore interrelationships of variables and likely causal links between them (Tanner, 2013, p. 149).

Table 1-4 The analytical variables of the surveys

	Records and archives operation in ministries	Opinion of users towards the NAT and its branches	Opinion of non-users towards the NAT and its branches
Explanatory or analytical variables	<ul style="list-style-type: none">- Level of awareness in the ministries about records and archives legislations- What was the relation between the recordkeeping system in the ministries and the NAT- Level of training in records and archives management of the government officials/records managers- etc.	<ul style="list-style-type: none">- Level of satisfaction of the user towards the quality of the service and management of the NAT- How did the development of NAT's service and management from the past research compare to this research- etc.	<ul style="list-style-type: none">- Whether the reason that people did not use/visit the NAT related to the quality of the service and management of the NAT- etc.

1.6.6 Research instruments: survey questionnaires

The research instrument for the survey was questionnaires. The full details of the questionnaires are shown in Appendices 2 – 4. The reasons for using questionnaires in this research were as follows. First of all, the questionnaires could reach a large number of respondents and a geographically dispersed community which maximised the opportunity to collect data. They were also economic in cost and time and offered anonymity and confidentiality. The responses were completely anonymous, allowing more sensitive questions to be asked with a fair chance of receiving a true response. Moreover, the respondents had time for checking facts and for pondering on the questions which led to more accurate information while the interview participants might not be able to check the information during the interview so the data might not be accurate.

Questionnaires could collect both quantitative and qualitative information through the use of open-ended questions, including standardised, quantifiable, empirical data (O'Leary, 2004, pp. 152-153). The data analysis and coding could be determined from the beginning of the research or during the research design stage before the questionnaires were distributed (Pickard, 2013, p. 207).

Finally, due to the fact that questionnaires collected data from a larger sample, the responses from the questionnaire might represent a larger population than other types of methods (O'Leary, 2004, pp. 152-153).

In the information management field, questionnaires are used frequently, especially in research trying to understand the needs of users and to evaluate information services. There are examples in the information systems field where researchers have used questionnaires during information systems development and implementation in order to identify the information and processing requirements of the potential system users and their satisfaction with systems (Williamson, 2002c, pp. 235-236).

In this research, the author used questionnaires to collect data from NAT users and non-users and also to collect data about the recordkeeping practices in the different central government departments in Thai ministries. In this research, questionnaires were administered both on paper and electronically. The paper-based, printed instrument questionnaire was the most common form (Pickard, 2013, p. 222).

Firstly, in this research paper-based questionnaires were distributed by post to seven ministries. These paper-based postal questionnaires were the most costly. They were posted out to the research sample who were asked to complete the survey and then to return it by mail. Paper-based questionnaires were also handed out to individuals at the NAT reading room. The author contacted the NAT officer in Bangkok and asked for permission and assistance to leave the paper-based questionnaires in a prominent position for six months where the NAT users were encouraged to complete and return them to the distribution point.

Secondly, electronic online questionnaires were used. Electronic questionnaires were more convenient and cost-effective than paper-based ones. Electronic questionnaires were also ideal for rapid data collection from a widely dispersed research population. Data transmitted in electronic form was more flexible than paper-based questionnaires and it facilitated the processes of data collection, data capture and data analysis (Tanner, 2013, p. 164). In this research, electronic questionnaires were created, mounted on a free-survey website, and completed online. The link to the survey can be found at www.ucl.ac.uk/dis/people/seelakate.

Online questionnaires were distributed by various social media platform e.g. Facebook and UCL webpage between July 2014 – October 2014.

Table 1-5 The forms of questionnaires

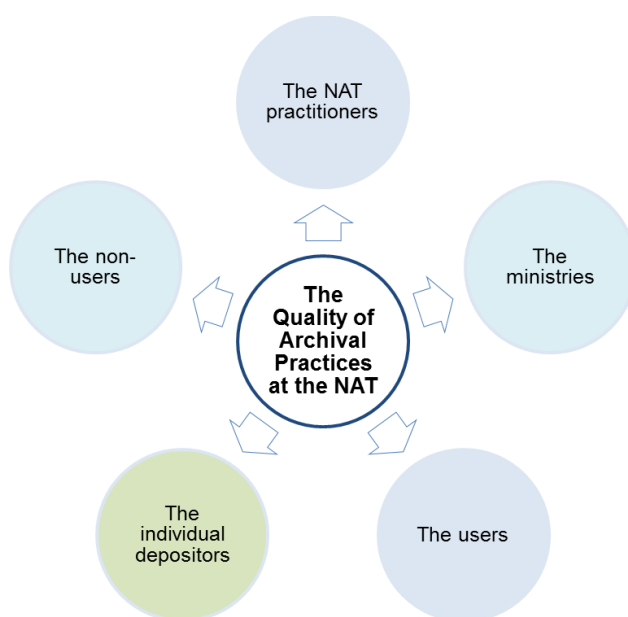
	Records and archives operation in ministries	Opinion of users towards the NAT and its branches	Opinion of non-users towards the NAT and its branches
Form of questionnaires	Paper-based questionnaires by post	Paper-based questionnaires by post, Paper-based questionnaires by handing in NAT reading room	Online questionnaires on survey website

1.6.7 Process of survey

Three surveys were carried out as follows: Records and archives operations in ministries, Opinions of users towards the NAT and its branches, and Opinions of non-users towards the NAT and its branches. The main stages involved in planning and implementing these surveys are outlined below.

Precisely defining a survey population gives credibility to research findings (Pickard, 2013, p. 114). The author was aware that the population in this case did not mean everybody or everything, but rather was the group of people that the research conclusions could make generalisations about. The author decided who to survey by considering which stakeholders might be able to comment on the quality of archival practices at the NAT.

Figure 1-2 Diagram of the possible stakeholder groups who may reflect on quality of NAT's services



A literature review was then carried out and after searching through the UCL and Thai databases, research relevant to the surveys was found; including “Archival management in Thailand” by Nilkumhaeng (1974), “An evaluation of the service quality of the office of the national archives” by Kootiem (2005), “The image of the National Archives of Thailand among graduate students of state-owned universities” by Saichampa (2006), and “The study of use and users at the National Archives” by Poonsrisawat (2006). Consulting this past research gave valuable insights into good design features for the surveys, e.g. appropriate samples, gaps that could be explored, what not to do when using surveys, what data from past research could be used for comparison and triangulation, how to phrase research questions, etc. (Pickard, 2013, p. 114).

Table 1-6 Past research and how the author applied them to this research

Past research	Applications
“Archival management in Thailand” by Nilkumhaeng (1974)	The author used the data from this dissertation about recordkeeping among ministries to understand overview picture of recordkeeping in central government and to compare with the primary data collected in this research (source triangulation).
“An evaluation of the service quality of the office of the national archives” by Kootiem (2005)	The dissertation evaluated the quality of archival service of the NAT by comparing the level of expectations with level of actual services that users received. Kootiem (2005) implemented SERQUAL and LibQUAL theories to evaluate NAT's service in five areas which were service providers, reliability, physical attributes, information access, and location and surrounding. The author read this dissertation

	and adapted questions from Kootiem's questionnaires to create questionnaire of "Opinion of users towards the NAT and its branches". The author compared data from dissertation findings with the primary data collected in this research (source triangulation).
"The image of the National Archives of Thailand among graduate students of state-owned universities" by Saichampa (2006)	<p>Saichampa (2006) studied the image of the NAT among graduate students from samples of universities with its focus on four areas (the public relation, the service, the archival documents, and the physical environment). The data from this dissertation about relationship between the frequency of using the NAT and the levels of understanding in duties and responsibilities of the NAT which affected the aspect of NAT's image helped the author to understand NAT's users.</p> <p>The author adapted Saichampa (2006, pp. 102-105)'s questionnaires (service assessment) to create questionnaire of "Opinion of users towards the NAT and its branches" and Saichampa (2006, pp. 100-101)'s the public relation assessment to create "Opinion of non-users towards the NAT and its branches". The surveys' respondents were invited to comment on seven short statements about the role of NAT and these statements came from this dissertation. The dissertation findings were used to compare with the primary data collected in this research (source triangulation).</p>
"The study of use and users at the National Archives" by Poonsrisawat (2006)	Poonsrisawat (2006) analysed data about usage and users in the NAT and expected that these data would be a useful tool in understanding users and the use of archives and would help the NAT carry on archival work (i.e. arrangement and description, preservation, public programs, reference services). The author adapted Poonsrisawat (2006, p. 211)'s questionnaire to create questionnaire of "Opinion of users towards the NAT and its branches". Also this dissertation provided details about NAT's users (Poonsrisawat 2006, pp. 186-194) and suggestions (Poonsrisawat 2006, p. 205) which were helpful for the author when analysing data collected about NAT's users in this research. The dissertation findings were used to compare with the primary data collected in this research (source triangulation).
"Users & Non-users of Museums, Libraries and Archives" by PLB Consulting Ltd, The Council for Museums, Archives and Libraries in 2004	This document provided data about the main audience of UK archives and the non-user groups which were established from the available data in the document. The summary of this document suggested future initiatives designed to encourage more participation and to increase the benefits which archives sector could bring to UK citizens. The data from this document about Profiles of Non-users of Archives on page 55 helped the author to understand how the document identified non-users of archives and who could be potential non-users of the NAT e.g. workers who have no time, low-achieving households, ethnic groups, people without information retrieval skills. These data were helpful for designing and analysing questionnaire of "Opinion of non-users towards the NAT and its branches".
"Listening to the Past, Speaking to the Future: the Report of the Archives Task Force: Annex E: Towards a	This document examined the attitudes, opinions and behaviours of non-users of archives as it investigated general public's understanding of archives, potential reasons for and likelihood of using archives, barriers to

better understanding of non-users” by R W Sabin and L Samuels, MLA Archives Task Force in 2003	using archives, perceptions of the value of archives. The author adapted the questionnaires from this document e.g. why non-users not using archives on page 3, possible archives activities of non-users on page 5, strategies to encourage use/visit to archives on page 9 to create questions in “Opinion of non-users towards the NAT and its branches” survey. The data about non-users of archives in this document on page 11 helped the author understand how this document identified non-users of archives in UK and who could be non-users of archives.
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The questionnaire “Records and archives operation in ministries” aimed to explore the current condition and levels of efficiency in recordkeeping among ministries as a part of a reflection of quality assessment in archival practices of the NAT to examine whether the ministries transferred non-current public records to the NAT and whether the NAT facilitated, coordinated, and provided assistances to help ministries manage their archival operations or not. The questionnaire consisted of three parts: recordkeeping operations in the ministry’s office (21 questions), recordkeeping issues in the ministry’s office (15 questions), and personal information of the respondents (5 questions). (See Appendix 2 for full details).

The questionnaire “Opinion of users towards the National Archives of Thailand and its branches” aimed to explore the current condition and levels of efficiency in archival operations at the NAT through the user’s opinions as a part of a reflection of quality assessment on archival practices of the professionals. The questionnaire consisted of three parts: the profile of the NAT (7 questions), the reflection of most accurate current condition of archival operation the users experienced: general overview (8 questions), accommodation and facilities (11 questions), archive services of the NAT (17 questions), resources at the NAT (12 questions), and personal information of the respondents (8 questions). (See Appendix 3 for full details).

The questionnaire “Opinion of non-users towards the National Archives of Thailand and its branches” aimed to explore the current role of the NAT in the perception of non-users as a part of a reflection of quality assessment in archival practices of the professionals. The author defined “non-users” as Thai citizens who had never used or visited the NAT. Although the non-users had never used archival services of the NAT, the duties and responsibilities of the NAT according to the NAA 2013 specified that the NAT should promote information access to public records

and archival use among Thai citizens. This questionnaire attempted to examine whether public relations activities of the NAT had been done effectively enough to make Thai citizens (non-users) aware of the NAT and what the archives was. The questionnaire consisted of three parts: opinion on archival services at the NAT (4 questions), profile of the NAT (7 questions), and personal information of the respondents (2 questions). (See Appendix 4 for full details).

In each case, the questionnaires were administered in the Thai language, and were translated into English by the author for the purpose of explaining and supporting the research methods in the thesis. The answers were all received in Thai and were selectively translated where necessary into English for the reproduction of research results in this thesis. In the questionnaires a mixture of factual and opinion questions were asked.

Table 1-7 Factual questions and opinion questions in the questionnaires

	Records and archives operation in ministries	Opinion of users towards the NAT and its branches	Opinion of non-users towards the NAT and its branches
A: Factual questions such as	Which regulations are implemented for recordkeeping in your ministry? How long have you been working in this position?	How often do you use/visit the National Archives of Thailand?	What reasons have you not used/visited archives?
B: Opinion questions were measured by a Likert scale such as	Please choose the answer that comes closest to the way you think: There are sufficient employees who are responsible for recordkeeping in my office.	Please choose the answer that comes closest to the way you think: The relationship between the National Archives and users is supportive.	Which of the suggestions would be most likely to encourage you to make use of archives in the future?

Survey questions were either open or closed. Open questions allowed respondents to construct answers using their own words. The advantage of open questions was that the respondents could qualify their responses rather than choose categories which might not express their situations or views precisely (Williamson, 2002c, p. 238). The respondents might offer any information or express any opinion

they wished. Moreover, open questions provided rich data. However, the data collected from open questions can be difficult to collect and analyse (O'Leary, 2004, p. 159). Examples of open questions in this research are as follows.

1. Could you please explain the organisational structure of your office under the ministry?

2. Which of the following reasons do you go to an archive for?

3. Which of the suggestions would be most likely to encourage you to make use of archives in the future?

On the other hand, closed questions presented the respondents with a number of possible categories of response, including an 'other' category (Williamson, 2002c, p. 237). A criticism was that closed questions force respondents to choose from a range of predetermined responses (O'Leary, 2004, p. 159). Closed questions provided frames of reference guiding respondents' replies. It helped to clarify the concepts used and the kinds of answers sought (Williamson, 2002c, p. 238). The data collected from closed questions were easy to code and statistically analyse. Examples of closed questions in this research are as follows.

1. Do you transfer non-current records to the NAT and its branches?

2. Apart from the NAT, have you ever used/visited other archives?

The author also used scaled questions in the questionnaires because these questions provided greater uniformity of response and therefore they were easy to code. The type of scale applied in this research was the Likert scale. The Likert scale is a bipolar scaling technique that provides a chance to the respondent to select a choice that best demonstrates their level of agreement with a given statement (Pickard, 2013, p. 213). Examples of scaled questions in this research are as follows.

Statement about general overview	Strongly agree	Agree	Disagree	Strongly disagree	NA/Do not know	Note
1. You think that archives you	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		

used are valuable and deserved to be preserved at the National Archives.			
2. The administration and management under the National Archives are well implemented.	○	○	○

To make the language in the questionnaires clear and unambiguous, each question and response choice was carefully crafted. The author tried to think about which parts of the questions and response choices could be considered ambiguous, leading, or confusing. The author also wrote clear and simple instructions for the respondents. The author encouraged the respondents by briefly explaining the purpose of the survey, how the results could be of benefit to them, and how long it would take them to complete. The author included polite messages of thanks and appreciation for their efforts at the end of the questionnaires.

The design and layout of questionnaires must have clear and professional presentation (O'Leary, 2004, p. 156). The author put the questions and response choices in an order. It was logical and eased respondents into the survey because if the questionnaires looked unprofessional and unpleasing, the respondents might be less likely to complete them. Moreover, if there is an error in a questionnaire, it may affect the quality of data collected from the respondents (O'Leary, 2004, p. 161). To receive a good response rate, the questionnaires were simple and as short as possible. The supervisors gave feedback on the draft of questionnaires and the author rewrote the questionnaires until the drafts were approved. The author consulted with the supervisors about the ethical clearance for the final version of the questionnaire to ensure that it was clear to the respondents that they completed the questionnaires voluntarily and could quit at any time they wished.

In terms of piloting, the questionnaires as research instruments were pre-tested on five people who were and were not familiar with archives. These five people could represent the real intended target audience. Piloting questionnaires helps establish their validity and reliability (Tanner, 2013, p. 146). After piloting the questionnaires, the author received feedback about the overall layout and design, the effectiveness of the cover letter, the usefulness of the instructions, and the length of time it took to complete the questionnaire. Any necessary revisions were made. The author planned the timeframe to launch the survey to all stakeholders.

Table 1-8 Timeframe for launching questionnaires in Thailand to collect data

Timeframe	Records and archives operation in ministries	Opinion of users towards the NAT and its branches	Opinion of non-users towards the NAT and its branches
	December 2013 - 31 January 2014	April 2014 (paper), 17 July 2014 - 16 October 2014 (online)	15 July 2014 - 16 October 2014

For the “Records and archives operation in ministries” survey, the questionnaires were sent by post including instructions for return and a self-addressed stamped envelope to a post box which the author rented in Thailand. Of a possible maximum of 20 Central Government ministries, this survey was directed at and sent to seven, selected because of their various characteristics, as detailed in Table 1-9 below. All seven ministries selected were (as a part of Central Government) supposed to transfer public records to the NAT in compliance with national legislation.

Table 1-9 The number of the sample size selected from seven ministries

Established year	The Ministry	the reason to select these samples	sample size (respondent numbers)
1873	Ministry of Finance	the oldest ministry	25
1875	Ministry of Foreign Affairs	the organisation that possibly had the best records and archives management in public sector	14
1887	Ministry of Defence	the largest ministry	20
1932	Office of the Prime Minister	legislative setter for records and archives management	18
1993	Ministry of Labour	the smallest ministry	6
2002	Ministry of Culture	Ministry of the NAT	10
2002	Ministry of Information and Communication Technology	the newest ministry	10
<i>total</i>			<i>103</i>

“Opinion of users towards the NAT and its branches”, questionnaires were delivered and left at the NAT in April 2014 and released on the Website in July 2014. The non-user survey, “Opinion of non-users towards the NAT and its branches” questionnaires were posted on the Website and promoted via social media electronic platform Facebook in July 2014. After the surveys were implemented, before the due-date for closing the surveys, the author promoted,

advertised, and encouraged people to complete the survey online in order to increase the response rate. The author monitored, managed, and collected the data from the responses. The returned questionnaires were collected for coding and analysing. The results were interpreted, recorded and concluded. The results were translated into English by the author, presented and discussed with the supervisors.

1.6.8 Limitations

The questionnaires were created to be simple and short meant that complex data could not be collected completely. There was also a risk that simple and short questions might be misinterpreted by the respondents, although the author did try to avoid any ambiguous questions (Williamson, 2002c, p. 239).

Secondly, although the author encouraged and re-advertised the users and non-users surveys, the rate of response for some questionnaires was lower than others. Particularly, as the author was based in London, but the surveys were conducted in Thailand, she lacked the opportunity to predict and control the surveys. It was hard to follow-up and to issue reminders to complete the questionnaires. Moreover, it was impossible to find out why some questionnaires had lower response rates. The author decided to run the user survey and non-user survey through the web-survey and advertised it on Facebook because the web-survey could overcome the limitation of the location. Furthermore, the web-survey could extend the scope of response since the respondents could be anywhere in the world as long as they had access to the internet. However, the non-user survey was only limited to those who could access to the internet in order to complete the questionnaire online.

Reports entitled Thailand Internet User Profile 2013 (Electronic Transactions Development Agency, 2013) and 2014 (Electronic Transactions Development Agency, 2014) indicate that Facebook (with its 24 million users in Thailand in 2013) has been the most popular social network channel in the country. After creating the “Opinion of non-users towards the NAT and its branches” and “Opinion of users towards the NAT and its branches” surveys on the UCL website, the author decided to advertise these surveys via Facebook (July – October 2014). Disseminating the link on Facebook offered the potential to engage online communities to respond without any cost. Some respondents were kind enough to share the link on Facebook so the author had good rate of response for the non-users survey.

However, using this social media platform also had limitations. Firstly, advertising the link on Facebook could only engage those who were a part of the Facebook community and thus people who could not access Facebook or the internet were excluded. Secondly, the first group who saw the advertised link were the approximately 300 “friends” on Facebook of the author, such that the respondents might be expected to share similar opinions, interests, and demographics with the author, possibly biasing their responses.

1.6.9 Research methods and techniques: interview

Interviews are a research method that can be used for general or specific subjects, even for sensitive topics (with the correct preparation). In many research projects, interviews are a method used when researchers seek qualitative, descriptive, in-depth data that is specific to the individual, especially when the nature of the data is too complex to be gathered easily in a survey. The interview’s purpose is to access what is in the mind of the participants (Pickard, 2013, p.196). For interpretivist research, interviews attempt to understand people from their own perspectives (Williamson, 2002c, p. 242). The participant or the interviewee is allowed and encouraged to talk expansively on the topics relating to the research subject.

This research conducted semi-structured interviews as one of its data collection methods. Semi-structured interviews are neither fully fixed nor fully free since the researcher generally starts with a defined question plan, although with a view to pursuing any interesting tangents that might develop during the interview (O’Leary, 2004, p. 164). The flexibility of semi-structured interviews allowed the author to follow up on leads provided by the participants for each of the questions involved (Williamson, 2002c, p. 243). The interview outline is shown in Appendix 5. The interviews were very useful for obtaining information and opinions from experts and practitioners.

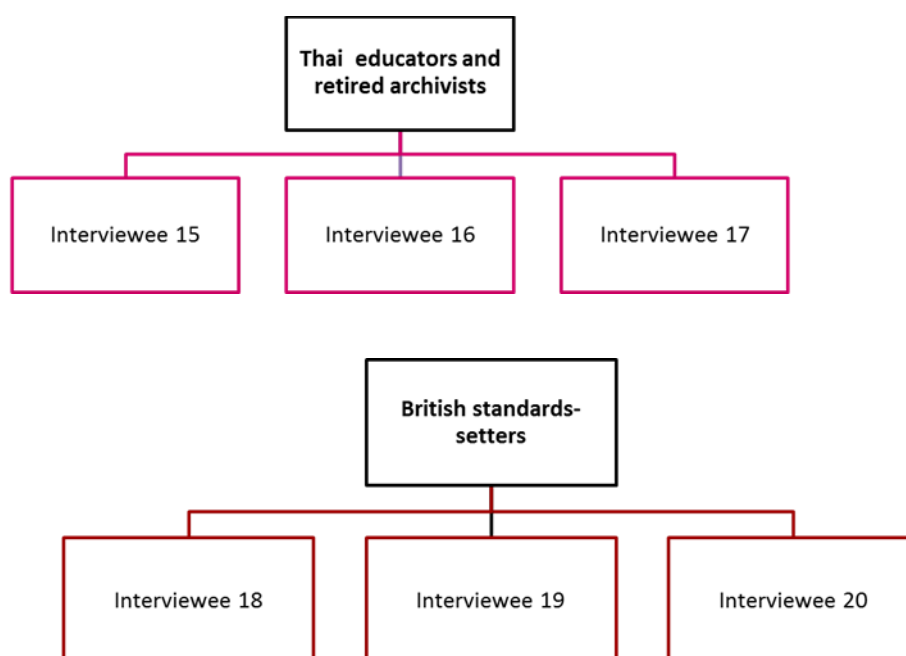
1.6.10 Process of interview

The author conducted semi-structured interviews with both UK and Thai participants. The author studied in the UK which is one of the countries that has been actively involved in setting international standards for records and archives management. Therefore, the author decided to engage with UK experts on

standards in this research. The participants were recommended by the supervisors. All three UK participants (their codes are Int.18 – Int. 20) were regarded as expert in the records and archives profession and had worked in the standard setting process before.

In terms of the participants in Thailand, there were three participants from outside the NAT (their codes are Int.15 – Int.17) who were selected by a non-probability, snowball sampling procedure. These three participants were retired archivists and educational providers. The author decided to include them in the interviews because they could provide information related to standards, standardisation, and quality control in professional performance. Also, the participants' experience of using or not using standards in archival practices could uncover issues behind standard adoption in Thai archives.

Figure 1-3 Research participants outside the NAT



With regards to participants within NAT, the author probability, stratified random sampling, which is used when those to be interviewed fall into distinctly different categories (strata) or recognised groups, such as an organisational Group within the NAT (Williamson, 2002c, p. 228). The number of the NAT employees and its organisational structure was identified by Pipuannok (2005, pp. 168–169) in “The Personnel Development for Archival Practitioners Who Work in the Office of the National Archives”.

Table 1-10 The number of the employees and organisational structure of the NAT (Pipuannok, 2005, pp. 168–169)

Ministry of Culture					
Fine Arts Department					
The Office of National Archives of Thailand					
General Administration Group (41)		Archival Professional Group (69)		Archival Professional Support Group (37)	
Government officials		Government officials		Government officials	
General administration officers	1	Archivists	40	Archivists	17
General service officers	4	Audio-visual practitioners	2	Audio-visual practitioners	2
Electricians	1			Photographers	1
Permanent employees				Permanent employees	
Administrators	1			Preservation staff	8
Typists	2				
Drivers	2				
Janitors	15				
Security guards	4				
gardeners	3				
Temporary employees		Temporary employees		Temporary employees	
Typists	1	Archivists	27	Archivists	6
General service officers	6			Preservation staff	1
Electricians	1			Photographers	1
				Outreach officer	1

The author based her research strata on this research, the most up-to-date available data (Pipuannok, 2005, pp. 2–3), as shown below. First certain groups (electricians, janitors, etc.) were excluded as not being archival professionals. Then, the author defined the number of participants from each group needed for interview (see below) and sent an official letter to the Director of the NAT to ask for interview permissions.

The author planned to use two participants from each of the Administration unit and Recording Events Group because these groups did not directly implement any national or international standards for archival practices. Two interviewees was regarded sufficient for data collection to explore what kind of archival operations the practitioners performed in these two groups and how they controlled the quality of their practices. For the Research and Records Administration Group, Important Records Group, and Preservation Group, which were the main focus of this study, the author needed at least three participants so that the data collected from them could be cross checked, to establish rigour and trustworthiness.

Table 1-11 The number of the employees from all unit and groups under the NAT expected to participate in this research

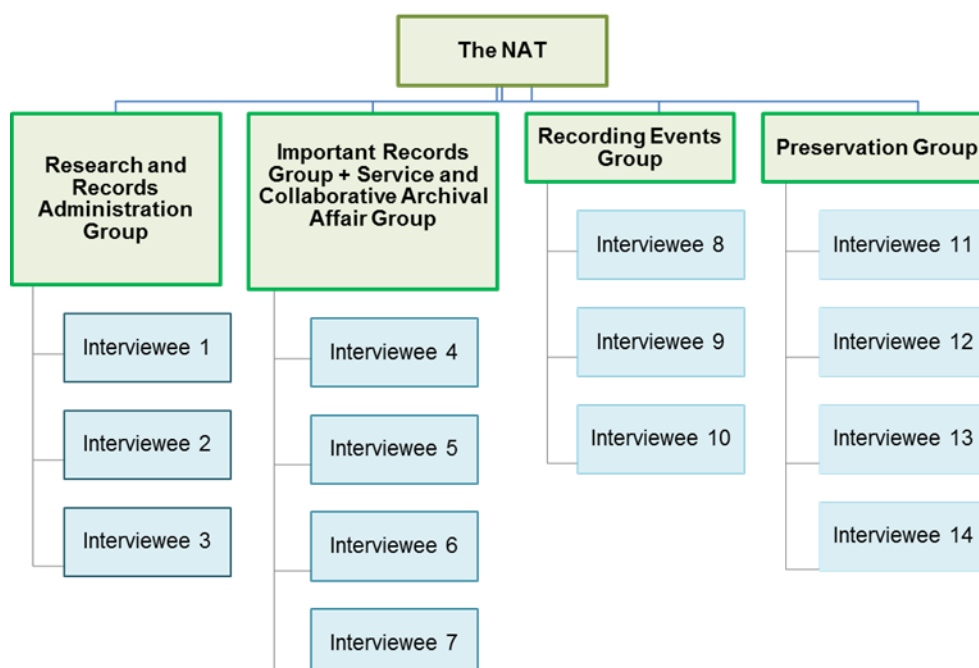
Strata	total quantity (person)	quantity of archivists (person)	expected quantity (person)	actual quantity (person)
Administration unit	10	2	2	0
Research and Records Administration Group	10	10	3	3
Important Records Group	16 + 14	13 + 7	3	4
Recording Events Group	16	11	2	3
Preservation Group	22	8	3	4
National Archives in Commemoration of H.M. The King's Golden Jubilee	8	6	3	0
Total	96	57	16	14

These requirements were sent to the Director of the NAT in the letter to request permission to interview the NAT employees. (See full details in Appendix 5). The specification of each interviewee was:

1. He/she is an employee of the NAT who performs tasks involving records and archives.
2. He/she has experience in his/her job and is knowledgeable about regulations, rules, policies, and traditions of practice in his/her workplace.
3. He/she is willing to share and express personal thought as a professional in records and archives field to develop records and archives management of Thailand in the future.

As a result, 14 interviews were undertaken with NAT employees, as detailed in the following figure.

Figure 1-4 Thai participants recruited from the NAT



The author structured the interview questions in a natural order to allow the participants to follow a logical thinking process and thereby gain a growing understanding of their opinions, attitude, feelings, and behaviour (Pickard, 2013, p. 197). The author prepared a fixed list of standard topics to cover in the interviews as follows.

Table 1-12 Examples of interview question topics for Thai and UK participants

Thai participants	UK participants
1. The method of quality control of archival operation in your workplace. 2. Their opinions on effectiveness of using/not using standard in your workplace. 3. Their role or participation in standard creation, standard adoption, and standardisation. 4. Their views on compulsory and voluntary standards in archival performance at national level. 5. Their comments or suggestions on standard implementation and standardising archival practices in the future.	1. Working as standards setters in national and international organisations. 2. The process of creating international standards at BSI, ISO, and ICA. 3. Development processes of ISO standards e.g. ISO 15489, ISO 30300. 4. Strategies for standards implementation. 5. Challenges or obstacles of standards adoption. 6. Their views on how important standards are for our profession. 7. Their opinion on the role of standardisation. 8. Their views on compulsory or voluntary standards.

After drafting the interview questions, the author revised questions carefully and consulted with the supervisors for feedback. Later, she received ethical approval for the final version of interview questions from the supervisors. More importantly, the author tried to understand the language and culture of participants to access the setting professionally and properly. For example, to contact Thai government officials, she sent letters, rather than sending an email, as many Thai government bodies work in more traditional paper-based way. In contrast, the UK participants were contacted via email because it was more convenient for them to respond to the researcher if they agreed to participate in the research.

Table 1-13 Dates of Thai and UK participants' interviews

Dates	Thai participants	UK participants
9 April 2014	Int.1, Int.2, Int.3 from Research and Records Administration Group	
24 April 2014	Int.4, Int.6, Int.7 from Important Records Group	
25 April 2014	Int.5 from Important Records Group Int.8, Int.9, Int.10 from Recording Events Group	
6 May 2015	Int.11, Int.12, Int.13, Int.14 from Preservation Group	
19 May 2014	Int.16 (retired archivist)	
21 May 2014	Int.15 (educator)	
26 May 2014	Int.17 (retired archivist, educator)	
21 October 2014		Int.19
27 October 2014		Int.18
30 October 2014		Int.20

The author reached out to the participants by sending letters (to Thai NAT employees) and emails (to UK participants) and prepared the interview schedule. The email included information sheet (the brief research details), the CV of the researcher, and the consent form. For the UK participants, if they agreed to participate in the interview, it was important to make the appointment with them early. The author booked a room in UCL to conduct the interview appropriately in a quiet space. The author sent them the UCL map and guide to the venue. For the appointment with one UK participant in Liverpool, the author booked the train and hotel in advance and arrived in Liverpool one day before the actual interview was carried out.

For Thai participants, to collect good quality data, it was essential to have a schedule since the quality of preparation has an impact on the quality of the data (Labovitz, 1971, p. 175). The author sent an official letter to the Director of the NAT to get permission to interview employees and to inform them about the date and conditions of the interviews. In the official letter, there was information about the research and researcher, the requirements/criteria of the expected participants for the Director to select those who might be able to provide good data about the topics, and the scope of the interview questions. The author made the application for study leave at UCL to travel to Thailand for data collection from April – May 2014.

When executing the interviews, the author arrived to the venue on time to set up and prepare the equipment for interviews (audio and video recorders, consent forms, information sheet, and question sheet). During the interview, the author tried not to exceed the time (one hour) that she had asked for, as if the author exceeds the time, it will be unprofessional (Pickard, 2013, p. 198). The interview was begun by establishing rapport and providing a brief introduction to the research, the purpose of the research, the significance of the interviewee's participation, and the approximate time the interview would take. The author explained the ethics i.e. assurance of confidentiality, the right to quit the interview upon request, the right to decline to answer any particular question. The author asked the participants to carefully read and sign two copies of the consent forms: one copy for the participant to keep and another copy for the researcher to keep. Later, the author started recording the video and audio. The video and audio recording helped the author to preserve raw primary data collected at the interview for future use.

During the interview, having video and audio recording allowed the author to take notes and focus on the interview process at hand. The author listened to the participants at the same time she also took notes and monitored the reactions of the participants. Afterwards, the author closed the interview and thanked the participants, including giving the contact details in case participants wished to change their mind or add more information about the research.

For data analysis, as soon as possible after the interview, the author selectively transcribed the data from the interviews using the audio and video recording as reference (Pickard, 2013, p. 201). For transcriptions of the UK experts, the author transcribed the data and anonymised the data from the interview before

sending it to a proof reader for verifying the transcription because the author is not a native English speaker. Later, the author fixed the errors and modified the transcriptions where necessary.

For the transcriptions of Thai interviews, the author chose one interview and translated it into English to present it to the supervisors (see Appendix 8). The author reported and discussed the results of all interviews with her supervisors. Sometimes there were parts of the interviews where the participants talked about situations or the events, but were not certain about the exact details such as date, year, place, etc. Hence the author worked through the documents to find the accurate information to fulfil in the missing details or to make the details accurate.

Afterwards, the author verified the content of the interviews. For example, the participants talked about trips to regional NAT branches to audit and advise regional practitioners. The participants told the author about what they found and their opinions about the quality of archival practices in the regional NAT branches. Apart from the interviews, the author consulted with the literature i.e. a report on regional NAT branches as written evidence, to triangulate the data and ensure the reliability of the data from the interview. Finally, the author analysed the data of the interviews and coded the data.

1.6.11 Limitations

Firstly, the interviews were expensive in time and money. The cost involved in interviewing limited the number and geographic location of participants who could be selected (Williamson, 2002c, p. 244). For example, the author only travelled back to Bangkok, Thailand to collect primary data for two months and was unable to travel as well to the regional NAT branches to interview more archivists outside Bangkok.

Secondly, when the author asked the Director of the NAT to consider and recruit interview participants to join this research from four groups under the NAT, there might be bias in terms of who the Director would choose to participate in this research e.g. the Director might choose those who were the Head of the group to represent a good image of the NAT to the interviewer, those who had master degree qualifications so they could discuss about international standards in archival practices, etc. The bias of the Director when recruiting interview participants might

have had an effect on the data that the author collected and the resulting findings about archival practices at the NAT.

1.7 Data management

Research data management involves all decisions the researcher makes to manage their research data from the planning stage up to the long term preservation of that data. Research data is original sources or material, digital or not, created or collected to do the research and answers to research questions are based on the analysis of these data (University College London and Fellous-Sigrist, 2015). Personal data is information relating to living individual who can be identified from that data (via direct or indirect identifiers or a combination of information sources) e.g. name, gender, date of birth, post code, etc.

1.7.1 The benefits of data management

The fundamental reasons why research data should be handled appropriately are as follows.

First of all, data management can protect the data from loss and corruption. Without good management, data can be lost or rendered useless (Kennan, 2013, pp. 469–470). Data produced during research should be managed appropriately to ensure that data are stored, organised and documented in a manner that allows them to be understood and used for the intended purpose. As a researcher in Information Studies, the author was aware that it was crucial to preserve the data in the context to which they belonged. If the data were lost or removed from their context, the data would become incomplete and this would impact on using these data.

Secondly, good data management helped the author work effectively and efficiently (McLeod et al., 2013, p. 74). If the data were stored properly, the data were suitable for analysis and it was likely that the analysis might be accurate. When the author determined that the data used in this research were well-organised and managed, it helped validate the original findings of this research and establish trustworthiness.

Thirdly, good data management can save time and effort in retrieving the data and enabling data use and re-use (McLeod et al., 2013, p. 74). For example, when writing up the thesis the author used software i.e. Zotero to store the secondary data (books, articles, websites, etc.) which significantly saved time spent on retrieving it. The software i.e. NVivo which stored the data from the interviews helped organise the primary data and transcriptions of them. If there was some information missing or needed to fill, it was easy to recognise when the data was organised systematically.

Finally, apart from making data available for sharing, validation and re-use, data management was considered as good research practice (McLeod et al., 2013, p. 74), it also complied with agreed research requirements e.g. ensuring that the personal data of the participants was kept securely.

1.7.2 Process of data management

Data has a life cycle and it is important to know that data often has a longer lifespan than the research which produces them (University of Essex, n.d.). The data life cycle consists of six stages. Firstly, researchers create data (design research, plan data management (formats, storage etc.), plan consent for sharing, locate existing data, collect data, capture and create metadata). Secondly, researchers process data (enter data, digitise, transcribe, translate, check, validate, clean data, anonymise data where necessary, describe data, manage and store data). Thirdly, researchers analyse data (interpret data, produce research outputs, author publications, prepare data for preservation). Fourthly, researchers preserve data (migrate data to suitable medium, back-up and store data, create metadata and documentation, archive data). Fifthly, researchers provide access to data (share data, control access, establish copyright). Finally, researchers re-use data (follow-up research, scrutinise findings, teach and learn). Making decisions at each stage of the data life cycle, determines what data are available at the next stage, how data are handled, for what purposes that data are useful (Kennan, 2013, p. 468). During research, the data were organised and labelled by their types and formats as follows.

Table 1-14 Research data types and format (McLeod et al., 2013, p. 72)

existing data for re-use	
type	format

data within articles, books, website	paper, electronic
statistics: from published resources, from the NAT	paper
datasets from previous research e.g. MA theses in Thailand	paper published in libraries/on website
new data collected/created	
type	format
participants' words: from interviews, qualitative responses in questionnaires	audio visual, paper, electronic (Microsoft Word)
numeric data (numbers, graphs, images) from questionnaires	paper, electronic
researcher's notes from interviews, memo	paper
supporting documents and records	
type	format
signed consent forms	paper, electronic
communications e.g. email, letters, FB posts	paper, electronic, on the web
outputs e.g. conference presentation, research posters	paper, electronic, on the web

For data labelling, the author named and described the data and its contexts. In terms of data storage, the author stored the data safely to protect them from corruption or loss by using academic storage services of UCL issuing N drive on UCL desktop (available for all staff and students) as data is backed up every night automatically.

Moreover, in terms of backing-up data, the author also copied and archived files and folders for the purpose of being able to restore them in case of data loss by using portable storage e.g. USB disk or memory stick. For information security, the security measures applied to protect the data were controlled access limited to authorised users only, avoiding use of third party storage e.g. Dropbox, and removing identifiable information e.g. anonymization before sharing the data to somebody else such as proof reader.

Table 1-15 Information security in this research

Information Security	
removal of personal information	✓
adding synthetic data (such as pseudonyms)	✓
establishing participant consent	✓
develop an access agreement	
copyright clearance	✓

When the author disseminated the research outputs, it was important to ensure that the citation of data from other authors in articles, exhibitions, posters, conference papers, etc. were done properly. The PhD thesis followed the appropriate format for citing data. After submitting the PhD thesis, the author would put the data in the UCL repository to share and archive data for future re-use.

1.8 Data analysis

Firstly, the author reduced a huge volume of information into a meaningful report. The primary data collected e.g. surveys and interviews were not all used to answer the research questions because some data were not directly relevant to the analysis. For example, the data from the interviews about other activities of the practitioners at NAT might be useful to know but these data did not answer the research questions. Thus the researcher transcribed all the data from audio recording, but did not include this information into the coding.

Afterwards, the author manipulated and reconfigured the primary data collected from interviews and surveys into analytical units (Gorman, 2005, p. 205). The author brought out the meaning of the relationships between analytical units and integrated the interpretations into meaningful explanation. The author started to analyse the data according to their nature (quantitative and qualitative).

The primary quantitative data collected from the surveys provided a broader overview, for example, why Thai people did not use/visit the NAT. In this research, the quantitative data from three surveys were measured at different levels by using nominal and ordinal scales. The example from the questionnaires below shows how the author used two types of scales to analyse the quantitative data from the questionnaires.

Table 1-16 Examples of nominal scales to measure different status of the NAT's users from the questionnaire "Opinion of users towards the NAT and its branches"

6. What is your status?

☐ student ☐ teacher, lecturer ☐ researcher

☐ academic ☐ other (please specify) _____

7. What is your age?

☐ Under 18 ☐ 18 – 24 years ☐ 25 – 34 years

☐ 35 – 44 years ☐ 45 – 54 years ☐ 55 – 64 years

☐ More than 64 years

label	variable name/field name	codes/description
status	Students	= 1

	Teachers, lecturers	= 2
	Researchers	= 3
	Academics	= 4
	Other	= 5
	Blank if no response	= 6

Nominal (i.e. referring to names) or categorical scale is the most basic level of measurement. It consists of two or more named categories into which individuals, objects, or responses are classified. The author could compare the percentages in each category to the total, or one to another, and find the mode (the value that occurred most frequently in the categories).

Table 1-17 Examples of ordinal scales to measure age, level of education, etc. from the questionnaire “Opinion of non-users towards the NAT and its branches”

Finally, I would like to ask a few questions about you to help interpreting the results.

1. What is your age?

☐ Under 18 ☐ 18 – 24 years ☐ 25 – 34 years
☐ 35 – 44 years ☐ 45 – 54 years ☐ 55 – 64 years
☐ More than 64 years

2. What is the highest level of education that you have completed?
(Please tick one box only)

Level of Education

☐ Senior High School
☐ Vocational Certificate
☐ High Vocational Certificate
☐ Technical Certificate
☐ Bachelor Degree
☐ Master Degree
☐ Doctor of Philosophy
☐

label	variable name/field name	codes/description
age	Under 18 18 – 24 years 25 – 34 years 35 – 44 years 45 – 54 years 55 – 64 years More than 64 years Blank	= 1 = 2 = 3 = 4 = 5 = 6 = 7 = 8
Level of Education	Senior High School Vocational Certificate High Vocational Certificate Technical Certificate Bachelor Degree Master Degree Doctor of Philosophy Blank	= 1 = 2 = 3 = 4 = 5 = 6 = 7 = 8
The reasons not to use/visit archives	Do not know what info they have Do not know the location Do not have time Archives are not relevant to	= 1 = 2 = 3 = 4

	them Not interested in archives Do not know what an archive is Archives not opened when needed Other Blank if no response	= 5 = 6 = 7 = 8 = 9
Level of agreement: The archive preserves authentic primary evidence of the past	Strongly agree Agree Disagree Strongly disagree NA/Do not know Blank if no response	= 1 = 2 = 3 = 4 = 5 = 6

Ordinal scale or a “rank order” was level of measurement for attitude (Likert-type scales), levels of education, and many multiple-choice answers to questionnaires. For instance, the questionnaire “Opinion of non-users towards the NAT and its branches”, the ordinal scale was to measure age, level of education, reasons of the respondents why they did not visit the NAT, level of agreement about the statement relating to the NAT’ responsibility, etc.

After the author measured the quantitative data from the questionnaires, the codes from the survey reports helped the author analyse the quality of the archival practices through the opinions of users, non-users, and the co-operation from the seven ministries about recordkeeping. Coding the questionnaire responses was systematic because the initial codes were pre-defined when the questionnaires were designed. However, other codes emerged from the responses where the respondents had a chance to fill the answer in blank space or in open questions e.g. the detail of their organisational structure, how many and who were the committees who were responsible for recordkeeping in their office. It was crucial to code the questionnaire responses before analysis.

As an interpretivist researcher, qualitative data analysis was a crucial step because it was an “inductive approach using a research question and moving from instances gained in the data collection to some form of conclusion” (Grbich, 2007, p. 192). Qualitative data analysis was an attempt to transform raw data into results. The author communicated the research findings to the readers by making sense of the data collected, thus the tasks of qualitative analysis process included defining, categorising, theorising, explaining, exploring and mapping (Williamson et al., 2013, p. 418).

The interpretivist methodology was manifested when the author interpreted the qualitative data. The author familiarised herself with the data and read the data carefully before coding the interview transcriptions. The codes provided the connections that were important to category identification. In theory, the process of creating the codes manifests reflection and ideas as researchers interact with the collected data. The coding process is a method of developing innovative thought about the data (Williamson et al., 2013, p. 420).

The code could be concise or descriptive. The author preferred the code to be descriptive because the code should be able to preserve the original data as much as possible. When the author started coding, she was not sure how many themes and what theme might come up from the coding thus she thought that having many codes would be better than having small number of codes to summarise a whole paragraph of transcription.

The author provided the context for the interview transcription and the codes to ensure what code comes from which part and who said that in what context. This was an important process to establish reliability in this research and the original transcription and the coding work sheet as shown in Table1-18 as kept as reference until the research finished (see Appendix 8).

Codes should be unique and unambiguous as far as possible although sometimes the word that the author used as a code seems too general e.g. legislation. However, the author had a separate table to describe codes and their definition to reduce confusion. The coding process must be consistent and the author tried to re-use existing codes from the previous transcription in the next transcription to standardise the codes systematically. At the same time, the author remained open to explore new codes rather than forcing the existing codes to the new data.

Table 1-18 Example of coding of interview transcription on the question about how the practitioners in each group control the quality of archival practices

Responses	Responses (English translation)	Initial descriptive code
Interviewee 1: “พูดถึงเนื่องานก่อน กลุ่มบริหารเอกสารมีหน้าที่ในการรวบรวมรับมอบเอกสารจากหน่วยงานของรัฐ และส่วนบุคคลทั่วประเทศนะคะ ใน	Interviewee 1: “RM Group is responsible for acquiring and accessioning the records from public sectors and individuals all over the country, in central region including	RM’s responsibility records transfer legislation (RPMORM 1983 & 2005, OIA 1997,

<p>ส่วนกลางกับอีก ๑๒ จังหวัดในภูมิภาค”</p> <p>“การส่งมอบเอกสารทั้งหมดตามพรบข้อมูลข่าวสาร 40 ระเบียบสารบรรณ 26 กับ 48 ระเบียบการรักษาความลับทางราชการ 44 ซึ่ง 3 ระเบียบตัวนี้จะโยงมา มีการกำหนดขั้นตอน และระเบียบในการทำงาน ซึ่งพวกพี่ทุกคนที่เป็นนักจดหมายเหตุต้องทำตามระเบียบนี้ (RM)”</p>	<p>12 provinces.”</p> <p>“Records transfer is obliged to Official Information Act 1997, RPMORM 1983 & 2005, Rule on Maintenance of Official Secrets 2001. Three laws defined the working procedure and all archivists have to follow the legislation.”</p>	<p>RMOS 2001) quality control</p>
<p>Interviewee 2:</p> <p>“หน้าที่คือการพิจารณาบัญชีของทำลายเอกสารของส่วนราชการ ดังนั้นการควบคุมคุณภาพคือวิธีการพิจารณาบัญชีของเรา เราก็ต้องศึกษาโครงสร้างของหน่วยงาน ประวัติความเป็นมาของหน่วยงาน เามาประกอบการพิจารณาบัญชีขอทำลาย ว่าหน่วยงานเขามีหน้าที่ความรับผิดชอบอะไร แล้วเราถึงจะขอสงวนเอกสารที่ตรงกับหน้าที่ของหน่วยงานนั้นๆ”</p> <p>มีการใช้มาตรฐานหรือกฎระเบียบใหม่ในงานนี้</p> <p>“ใช้ตารางกำหนดอายุการเก็บเอกสารของหน่วยงานเอามาประกอบในการพิจารณาบัญชีขอทำลาย และเอาระเบียบสำนักนายกมาพิจารณาด้วยว่าเอกสารไหนที่จะขอสงวน”</p>	<p>Interviewee 2:</p> <p>“The duty of RM Group is to appraise the lists of request to destroy the public records. Therefore, to control the quality, the archivist must study organisational structure, history of the organisation, and consider these information when appraise the lists of request. The archivist will select the records that reflected the function of the organisation and preserve them. “The RM Group uses the retention schedule of the organisation to appraise the records in the lists of request. We also use the RPMORM 1983 & 2005 to select which records we would like to preserve.”</p>	<p>RM’s responsibility appraisal quality control legislation (RPMORM 1983 & 2005) retention schedule</p>
<p>interviewee 3</p> <p>“การรวบรวมรับมอบเอกสารที่เป็นเอกสารประวัติศาสตร์จากส่วนราชการและหน่วยงานของรัฐ รวมถึงให้บริการสืบค้น ให้บริการแนะนำเกี่ยวกับการทำลายการส่งมอบเอกสารประวัติศาสตร์เพื่อนำมาเก็บไว้เป็นเอกสารจดหมายเหตุ และปฏิบัติงานอื่นตามที่ได้รับมอบหมาย มีงานประเมินเอกสาร งานอนุรักษ์เบื้องต้นโดยการอบเอกสาร”</p> <p>การควบคุมคุณภาพ</p> <p>“หมายความว่าเรามีเกณฑ์มาตรฐานว่าราชการสมัยใหม่ ปีหนึ่งต้องปฏิบัติงานได้ตามเป้าหมายที่เขากำหนด ของกพ.”</p>	<p>Interviewee 3:</p> <p>“RM Group acquires and accessions the historical records from public sector. The Group provides the service and advice about records disposal and records transfer to be preserved as archives. The Group also operates other works assigned by the NAT. We appraise and conserve the records i.e. fumigation.”</p> <p>“The quality control means we have criteria stating that the government officials must work to achieve a certain level specified by the Office of the Civil Service Commission.”</p>	<p>RM’s responsibility appraisal conservation quality control criteria of OCSC</p>

Table 1-19 Example of code term and its definition, with examples of supporting quotes

code term	code definition	supporting quotes	
legislation	legislation relating to recordkeeping in Thailand e.g. RPMORM 1983 & 2005, OIA 1997, RMOS 2001, the National Archives Act 2013	Int.1: “Records transfer is obliged to Official Information Act 1997, RPMORM 1983 & 2005, Rule on Maintenance of Official Secrets 2001. These three	“การส่งมอบเอกสารทั้งหมดตามพรบ ข้อมูลข่าวสาร.40 ระเบียบสารบรรณ 26 กับ 48 ระเบียบการรักษาความลับทางราชการ 44 ซึ่ง 3 ระเบียบตัวนี้จะโยงมา มีการกำหนดขั้นตอน และระเบียบในการทำงาน ซึ่งพวกพี่ทุกคนที่เป็นนักจดหมายเหตุ

		<p>legislations defined the working procedure and all archivists have to follow the legislation.”</p> <p>Int.2: “The RM Group uses the retention schedule of the organisation to appraise the records in the lists of request. We also use the RPMORM 1983 & 2005 to select which records we would like to preserve.”</p>	<p>เหตุต้องทำตามระเบียบนี้”</p> <p>“ใช้ตารางกำหนดอายุการเก็บเอกสารของหน่วยงานเอามาประกอบในการพิจารณาบัญชีขอทำลาย และเอาระเบียบสำนักนายกมาพิจารณาด้วยว่าเอกสารไหนที่จะขอสงวน”</p>
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The author sorted the data, identified key events, linked relationships between codes (variables), and created the themes which came out from the codes. The themes were a pattern emerging from the data e.g. how the practitioners controlled the quality of their practices. Themes could be a meaningful essence which went through the data, or a more general insight which was explicit from the entire data (Williamson et al., 2013, p. 420) e.g. issues of ineffective current standards implementation in the NAT and regional branches. The data analysis was a nonlinear process of seeing a pattern, returning to the data, and exploring or confirming the pattern (Gorman, 2005, p. 206) as the author reviewed the themes by confirming the patterns through additional data collection and analysis and developed new theories or expanded existing ones. As this research was interpretivist, the focus of the analysis was on the qualitative data analysis and the author determined to think and process data in a meaningful and useful manner. The process of coding and creating the themes was inductive and led to the development of explanatory concepts and models (Grbich, 2007, p. 192).

Afterwards, the author combined the quantitative and qualitative data analysis to improve the validity of the research findings. The results of the qualitative data analysis clarified what the main issues were and then the analysis of the questionnaire responses supported those findings. For example, one issue of the NAT is a lack of digital service (either for e-records management for public sector or online service for users) and that this was an issue was apparent from both the interview data and the data from the user survey. Secondly, the surveys permitted a

more holistic view of the topics whereas the interviews provided more in-depth data about the topics so the author had a broad and complete picture. Thirdly, the combination of quantitative and qualitative results increased the capacity to cross-check one data set against another - triangulation. Fourthly, it provided another perspective to the same event. For example, the qualitative interviews provided the detail of individual experiences behind the statistics (assessment report). For instance, the semi-structured interviews with different levels of practitioners in each group mentioned the quality of archival practices in the NAT regional branches which could be compared to the secondary data in the reports of regional branches assessment. The detailed information could be used to structure the conclusions and to suggest changes.

The data analysis enabled outcomes that created connections, identified patterns and contributed to greater understanding. After analysing the data, the author developed a theoretical explanation of gathered data (Grbich, 2007, p. 185) built on existing theories in records and archives management. Therefore, readers can decide if the research findings fit with their knowledge and experiences.

1.9 Chapter summary

To answer three research questions, the author took an interpretivist stance and used document research, surveys, and interviews as tools to collect data to construct theoretical knowledge and draw conclusions about the research questions.

Chapter 2 Standards, quality, and archival practices

2.1 Introduction

The literature review in Chapter 2 establishes the initial stages of an investigation into the factors which shape archival practices at the NAT. This chapter covers existing theoretical understandings and structuring of archival practice, including records and archives management standards and standardisation. This chapter also addresses the nature of standards and standardisation more generally, and standards adoption in more detail through the case example of the adoption of the ISO 9000 series in Thailand. The discussion of these topics in Chapter 2 is supplemented, where appropriate, with interview data collected from UK records and archives management professionals (involved in standardisation at the ICA and ISO) and this data, alongside the case of ISO 9000 ensures that the motivations and perceptions of people involved in the process of standards development and standards adoption are taken into account.

2.2 Archival practice

This section introduces archival theory and practice, a main focus of this thesis, and, where appropriate, it also highlights how archival practice at the NAT compares and fits within this more general view. In theory, archival practice starts with consulting with creators of records and continues with “appraisal and selection as a prelude to acquisition and custody and to the arrangement, description, preservation, and holdings security activities” (Thibodeau, 2015b, p. 74). Archivists in this era are also more proactive in reaching out to potential users, providing access, and expanding services on the World Wide Web.

2.2.1 Records management

Although some may regard records management as not part of archival practice, the author discusses records management principles in this section because archivists from the Research and Records Administration Group at the NAT in particular, conduct some recordkeeping activities related to records management in government agencies. Records management covers “processes and controls for creation, capture, and management of an organisation’s records to support that organisation’s operations” (McLeod and Lomas, 2015, p. 348). Effective records management ensures that records contain essential characteristics;

“authenticity, reliability, integrity, and usability as required by the organisation” (McLeod and Lomas, 2015, p. 348).

Normally, archivists use retention schedules to monitor current recordkeeping. A records retention schedule is “a comprehensive list of records series, indicating for each series the length of time it is to be maintained, and when such series may be reviewed for destruction or archival retention. It often indicates retention in active and inactive storage areas (Brumm, 1995, p. 414)”. It is used as a tool and has been accepted for a long time as “one of the principal foundations of any records management programme” (Shepherd and Yeo, 2003, p. 163). The retention schedule is for records appraisal, access and its restrictions, and future disposal (Kristinsdóttir, 2013, p. 27). The retention schedule should cover the time the records must be retained for legal or operating purposes (Brumm, 1995, p. 273) and the disposition of the records (Association of Records Managers and Administrators, 2007, p. 22).

Archivists should review the retention schedule regularly e.g. once a year. Archivists may retrieve records to be transferred to storage on an annual basis. Practitioners prepare the records in storage that are to be archived, document them in an inventory, note the disposal year and store records. Archivists dispose records that reach their disposal year (Kristinsdóttir, 2013, pp. 27-28). The retention schedule gives an overview of the records as it provides information on the decisions taken regarding handling of the records, who holds the records, how the records are organised, the inventory number and when the records should be transferred.

If the organisations have retention schedules, they can save time and can identify easily which records need to be disposed of. International standards such as ISO 15489 (International Organisation for Standardisation, 2001) suggest that the archival professionals should use retention schedules as a tool to help manage the archives. In theory, the information supposed to be in retention schedule is; creators (creating bodies), the series (e.g. correspondence, accounting records), organisation of the records (e.g. classification system, alphabetical order, chronological order), how records are kept (e.g. in folders), when the records are transferred to storage in the organisation, numbering of storage boxes, instructions

about disposal and retention, provisions for paper quality, storage facilities, etc. (Kristinsdóttir, 2013, p. 27).

In 1999, in compliance with records management principles, the Research and Records Administration Group at the NAT published guidelines for Personnel Administration Records Retention Schedule and for Financial Records Retention Schedule 1999 as guidance for government agencies wanting to create their own records retention schedules. It expects ministries to follow these guidelines. In theory, the records retention schedule underpins a wider records management programme, as records management is about more than just retention schedules. It could be suggested that the NAT should take more action than just releasing guidelines to help establish proper records management in government ministries.

The guidelines Personnel Administration Records Retention Schedule and Financial Records Retention Schedule 1999 are intended to cover paper records held by government agencies. The concept of a retention schedule is based on the records life cycle model which is a Western concept. For electronic records the NAT offers no guidelines. It should publish guidelines regarding e-records retention because this will help the organisation and the NAT will have information about the formation, accessibility and preservation of current e-records within government agencies. For e-records, retention schedules can be a key to the electronic archives of the future (Kristinsdóttir, 2013, p. 33). A retention schedule can notify the NAT about the existence of e-records held by the public sector and show if they have proper classification system.

2.2.2 Life cycle and continuum models

During the twentieth century, two models emerged as archives professionals tried to solve issues “not experienced by their predecessors” (Dingwall, 2010, p. 139): the records life cycle and the continuum.

Life cycle model

The life cycle model is “a linear representation of the stage of a record’s existence, beginning with its creation in the office, and ending with either its destruction or its permanent preservation in an archive” (Dingwall, 2010, p. 142). The theory was developed in 1956 by Schellenberg who described the “life span” of

records – “records are not static, but have a life similar to that of biological organisms: they are born, live through youth and old age and then die” and this theory is employed in other disciplines such as information management and technology (Shepherd and Yeo, 2003, p. 5).

Firstly, it is important to address the life cycle model in this thesis because it sets boundaries between recordkeeping processes and a boundary between the roles of records management and archivists (Dingwall, 2010, p. 155). The “archival afterlife” of non-current records starts with accession and appraisal, continues with arrangement, description and preservation, and finishes with making records accessible to users.

Secondly, it is essential to understand this model because of its importance in underpinning many of the tools and strategies archivists all over the world use. For example, the creation of records retention schedules impose life cycles on the records by setting how long the records will be stored in creating organisations and determining whether they will be destroyed or transferred to the archive. Moreover, classification and scheduling tools, helping an effective records management programme, set up an obvious divide between records management and archives management in accordance with the model (Dingwall, 2010, pp. 143–144).

Thirdly, archivists who adopt the life cycle model (e.g. NAT archivists) can use other products (e.g. standards, codes of practices, recordkeeping systems and software) which are also based on that model.

The NAT has adopted the life cycle model and applies it to their current practice as shown in the Thai Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999). For example, according to the life cycle model, appraisal is a process conducted at the end of the life cycle of the records. The NAT waits until the public records reach the end of life before archivists interact and deal with them.

In this thesis, the author thinks that archival standards developed on the basis of the life cycle model can be implemented in the NAT because they have already adopted it. The life cycle model is implied in, for example, international archival description standards such as ISAD(G) (Cumming et al., 2001, p. 393). According to

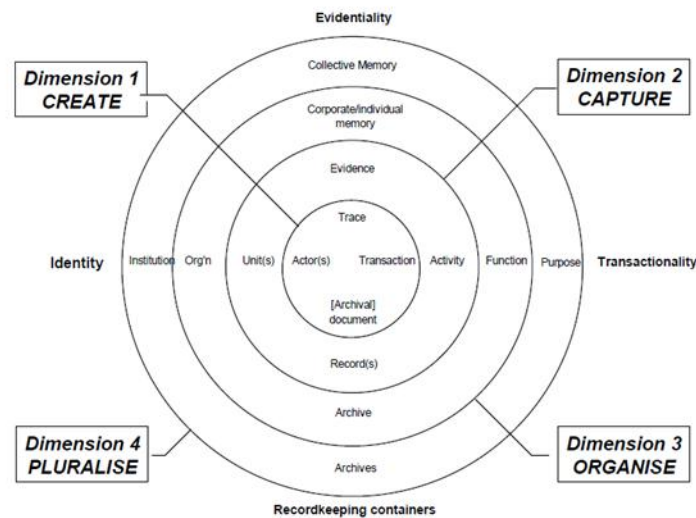
the life cycle model, when records are appraised to kept permanently and moved to another stage of archival management, at this point descriptive practice and application of ISAD(G) are carried out to facilitate users access to the records (Cumming et al., 2001, p. 393). However, a criticism of the model is that it encourages archivists to play a passive role (which considered to be insufficient in the digital environment) instead of making appraisal decisions as soon as possible after records creation (Dingwall, 2010, p. 151).

Continuum model

In the 1980s and 1990s a records continuum model emerged and was developed as an alternative to that of the life cycle (Shepherd and Yeo, 2003, p. 9). In response to criticisms of the life cycle model, some professionals, especially those in the Australian archival community started to develop thinking about the continuum (Upward, 2015, p. 334). In 1985, at the annual conference of the Association of Canadian Archivists, Jay Atherton explicitly addressed the records continuum model by pointing out the logical weakness of the life cycle (Flynn, 2001, p. 80). Atherton raised the question of “whether the management of current records was the first stage in the administration of archives, or the continuing preservation of valuable records the last step in records management” (Flynn, 2001, p. 80). In 1990s, Frank Upward who was a senior lecturer in the School of Information Management and Systems at Monash University, Australia, shared and published articles about his development of the records continuum model.

According to continuum thinking, records and archival management work should not be thought of separately (O’Meara and Tuomala, 2012, p. 87) because the “records function simultaneously as organisational and collective memory from the time of their creation” thus managing records is a continuous process as “one element of the continuum passes seamlessly into another” (Shepherd and Yeo, 2003, pp. 9–10).

Figure 2-1 The records continuum theory developed by Frank Upward (Newman, 2011, p. 94)



The continuum model defines key evidential, recordkeeping and contextual features of the recordkeeping environment, and their relationship with each other (Newman, 2011, p. 93). The dimensions in the continuum represent different perspectives on managing records and they are not time-based. The circles move from records creation as a part of business activities to ensuring records are captured as evidence and the fourth dimension serves the needs of society for collective memory (Shepherd and Yeo, 2003, pp. 9–10). The continuum model impacted on many approaches and practices of the recordkeeping profession globally as follows.

Firstly, the first standard for records management in the world, AS4390 the Australian Records Management Standard, published in 1996, was developed by adopting continuum thinking (Oliver, 2014, pp. 22–23).

Secondly, the continuum model provides new approaches for appraisal and recordkeeping and is why ISO 15489, with its focus on ensuring that recordkeeping systems effectively capture and control full and accurate records, includes the capture of related metadata and securing records integrity and accessibility over time (Bettington, 2008, p. 153). The continuum model allows archivists to consider records as “objects which operate across space and time, changing status and use depending on circumstance, with blurring of the boundaries between the roles of archivists and records managers” (Heazlewood, 2000, p. 175). With this

perspective, archivists are encouraged to move out of the archive and begin to take part in the creation and management of records across the continuum. The continuum model asks archivists to “hold responsibility beginning before creation, through maintenance, preservation, and use” (O’Meara and Tuomala, 2012, p. 87). To do so, the roles of archivists have changed from being passive to being more active by setting standards and policies to guide organisations about information management, including e-records (Heazlewood, 2000, p. 175).

Thirdly, continuum thinking provides a conceptual framework which changes the way the profession thinks about archival description. Life cycle thinking regards description as an activity (done by archivists) which occurs when records have been transferred to archival custody whereas the continuum model sees description as an iterative continuous activity that takes place from before records creation onwards (Shepherd and West, 2003a, p. 12). The multiple purposes of description range from business to archival needs and the primary aim of description is providing intellectual controls to enable authentic, reliable, and accessible records which we can carry forward through time beyond organisational boundaries (Cumming et al., 2001, pp. 393–394). Consequently, ISAD(G) was revised to bridge archival description practices based on both life cycle and continuum models.

2.2.3 Appraisal

Appraisal is the process of determining the archival value of records (Shepherd and Smith, 2000, p. 70). To appraise records means the “action of researching the contextualities of the records (or the history of the records) to provide sufficient contextual meaning to make retention decisions” (Nesmith, 2006, p. 263). Archivists create as much as select records for retention because they contextualise the records thus appraisal decisions are crucial and influence understanding of records creation, records provenance, and the evidence the records bear. Also, appraisal can refer to re-conceptualising in terms of arrangement because archivists remove most of the records through the appraisal process and this involves physical rearrangement of the records (Nesmith, 2006, p. 264).

Significantly, records appraisal is necessary for an organisation’s efficient functioning (McInnes, 1998, p. 212). Appraisal embraces theory, rationales, policies, and procedures for identifying, acquiring, and selecting records which have lasting

value (administrative, legal, fiscal, and historical value) and are worth keeping (Craig, 2015, pp. 14-15). It is crucial for archivists to have consistent criteria to help deciding on the retention and destruction of records and to have a comprehensive look at records early in their life cycle through a records re-scheduling process and before records are acquired.

Appraisal emerged in the mid twentieth century due to the growth in volume of paper records in government agencies. At that time, archivists allowed records creators to make decisions about what they needed to keep (Loo et al., 2008, p. 20).

Sir Hilary Jenkinson's approach of 1920s

In 1922, Sir Hilary Jenkinson published a "Manual of Archive Administration" which later became a de facto standard for UK archives professionals since this Manual codified archival practice at the UK Public Record Office (Jenkinson, 1922). His Manual established topics such as archivists' roles and duties, the significance of custody in recordkeeping, and appropriate acquisition and selection of records which stated that the fundamental duties of archivists were to "safeguard" the records and records essential qualities in their custody and to provide access to records (Jenkinson, 1922).

Sir Jenkinson believed that "the decision to destroy should be that of the creators of the records who would appraise according to the needs of its own practical business" (McInnes, 1998, pp. 212–213) thus the records creator was the person best "suited to determining what would continue to serve his/her needs" (Craig, 2015, p. 15). Jenkinson's appraisal method is records-centric and allows archivists to play the passive secondary role of advisor, facilitator and preserver of records. Moreover, this method was premised on "the existence of a highly structured civil service and centralised registry that provided standardised services and procedures for an entire agency or department" (Bettington, 2008, p. 156).

Schellenberg's approach or American approach of 1940s – 1950s

In 1956, Theodore Schellenberg published "The Appraisal of Modern Public Records" (Schellenberg, 1965). At that time the US government was faced with the problem of an overwhelming volume of official records. Consequently, Schellenberg

invented a system of criteria for appraisal (Shepherd and Yeo, 2003, p. 148) in the form of a taxonomy of records values which became very influential in implementing archival appraisal in the English speaking archives community in the mid twentieth century (Shepherd, 2015a, p. 280). His publication gave many recommendations and “analytical tests” that were helpful for archivists when selecting records (O’Meara and Tuomala, 2012, p. 83).

In a digital environment, traditional appraisal methods e.g. retrospective file-by-file review does not work (Loo et al., 2008, p. 21). However, “Schellenberg’s tests of evidential and informational values” are considered applicable for archivists who intend to preserve digital evidence of organisations and their functions, and information about people and things (O’Meara and Tuomala, 2012, p. 83).

Cook (2011, p. 174) suggests that appraisal is something held in common between records managers and archivists and the importance of appraisal has been recognised amongst all recordkeeping professionals. Cook (2011) also raises a question about how well we as archivists mirror the societies we represent by considering what we try to. In reality, appraisal is influenced by many factors (Craig, 2015, p. 17) such as unpredictable impacts from political or social pressures, legal norms i.e. freedom of information law and privacy protection, instability of supports and media for records, etc. Citizens who wish to connect with the past directly become archives users as well such as scholars in many academic disciplines, educators, lawyers, human rights activists, artists, novelists, heritage curators, lobbyists, Indigenous peoples, and other professionals (Cook, 2011, pp. 178–179).

Additionally, appraising e-records needs a different approach. Appraising e-records involves technical and intellectual aspects whereas appraising traditional paper records can be done from the physical inventory of records accumulated by creators (McInnes, 1998, p. 214). Appraisal is discussed here because it is important for the NAT to consider how standards and codes of conduct created by Thai archivists or international professional associations can assist archivists in performing appraisal now and in the future. The NAT should take these factors and change into consideration when they set policies and processes for records appraisal.

2.2.4 Arrangement

An archive can be fully comprehensible through the understanding of its content and its context. “Both content and context may be explained through description, but to be fully comprehensible, context also needs to be reflected through arrangement” (Cooknell, 1999, p. 26). To achieve this, arrangement must establish a hierarchy composed of description at multiple different levels all linked together. The concept of multilevel description is a core principle in archival theory and thus standards for descriptive practice adopt it e.g. ISAD(G) 1993 the first international archival description standard.

Arrangement consists of intellectual and physical processes of analysing and organising records in accordance with accepted archives principles (Society of American Archivists, 2013, p. xvi). It aims to safeguard the context of records and to achieve physical and intellectual control over them (Meehan, 2014, p. 68). The process of arrangement includes analysing “the original provenancial, structural, functional, and documentary contexts that are both internal and external to a body of records” and representing “these relationships in a formal, nested, hierarchical scheme” (Trace, 2015, p. 21).

Although arrangement and description are interrelated, it turns out that in literature and in practice, including at the NAT, archival professionals pay more attention to arrangement than description. The literature review shows that archival professionals regard arrangement as a way to protect the authenticity of records (rather than description) (Yeo, 2010, p. 91). However, the arrival of e-records led to a shift of focus from arrangement to description in digital environments. Indeed, Yeo (2010, p. 91) questions “whether it [arrangement] needs to be reinvented or abandoned in digital environments where physical orders have little or no meaning”. In traditional paper-based environments, arrangement implies the physical organisation of tangible objects, but in digital environments archivists should “reinterpret the principle of original order in terms of identifying multiple logical relationships among records, rather than in terms of their physical groupings” (Yeo, 2010, p. 92).

Principle of provenance

“The overall management of an archive is at heart management of the application of the principle of provenance (Nesmith, 2015, pp. 284–285)”. The thing that differentiates archives from other information forms is that archives derive their meaning and values from their provenance. Knowledge of the provenance of records allows them to be used as evidence of activities. Knowing the provenance of records can lead to them becoming “a decontextualised source of information – an information object that is largely devoid of wider meaning and evidential value (Cunningham et al., 2013, p. 122)”. This is why archival descriptive practice must document records in context.

Original order

Original order means the organisation and sequence of records which are established by the records creator(s) (Meehan, 2014, p. 67). Original order is viewed as the internal structure of records, consisting of various sets of internal relationships between the records and the activities giving rise to them and amongst the records related to the same activity. To preserve existing relationships and evidential significance and to employ the mechanisms of records creators to access the records, archivists should maintain records in their original order.

Series system

In the 1950s and 1960s archivists in Australia faced many problems when they tried to arrange and describe the records they held. These problems were caused by changing administrative environments in the bureaucracy (Australian Society of Archivists, Committee on Descriptive Standards, 2008, p. 4).

In 1964, Peter Scott, working at the Commonwealth Archives Office (now the National Archives of Australia), developed the series system as a method to document administrative change and its influence on records creation and management. It is an approach of describing records and their contexts (of creation and management) over time (Cunningham, 2015, p. 380). The series system suggests that archivists should separate descriptions of records creators from records descriptions, thus description is separated into two structures which are context (provenance with elements of person, family, agency, organisation) and recordkeeping (record series, item, document).

In the 1990s the ICA developed international standards for archival descriptive practice that codified “a rigid traditional approach to description” (Cunningham, 2015, p. 382). Later, the Australian archives community tried to advocate for description standards that supported the series system. Finally, the efforts succeeded as some changes were made to the second editions of ISAD(G) 2000 and ISAAR(CPF) 2004.

2.2.5 Description

Archival description involves “the creation of an accurate representation of a unit of description and its component parts, if any, by capturing, analysing, organising and recording information that serves to identify, manage, locate and explain archival materials and the context and records systems which produced it” (Meehan, 2014, p. 68). Archival description performs two functions. The first function is to provide access to records by demonstrating how single records relate to the entire collection and by giving entry points to the records. The second function is to preserve the authenticity and reliability of records so that they continue to serve as evidence by documenting the contextual relationships between the records, functions, and actors involved in the activities of which the records stand as evidence (Dingwall, 2010, p. 152). Contextual description ensures “the moral defence” of records (as said by Sir Jenkinson) and safeguards records’ authenticity “by documenting their chain of custody, their arrangement, and the circumstances of their creation and use” (Yeo, 2010, p. 90).

From the 1970s onwards, much attention was paid to the development of standards for archival description (Davis, 2007, p. 46). The incentive for standardising archival description practice emerged from opportunities to contribute descriptions to online catalogues for broad accessibility. This forced archivists to reconsider how they recorded and presented information and to begin developing consensus and collaborating with colleagues (Davis, 2007, p. 46). As a result, during the 1980s the archival community paid much attention to description and archival description standards development and standards implementation in shared catalogues became a crucial preoccupation of the profession (Dryden, 2005b, pp. 81–82).

Finding aids serve internal and external purposes. The internal purpose is to establish physical control as archivists rely on finding aids to manage, track, and

locate the physical parts of records. Finding aids, as an access tool, provide physical and intellectual access to records. Apart from control and access, finding aids are also used as a tool to preserve context or “an apparatus of authenticity” because they maintain the contextual relationships created in the course of arrangement and description and thus they ensure the materials’ authenticity (Meehan, 2014, pp. 85-86).

2.2.6 Archival preservation

Conservation is defined as “a science-based discipline that leads to the stabilisation and increase in the life expectancy of archival records, through the use of minimal intervention” (Hill, 2015, p. 149). Conservation includes repairing archival materials through physical and chemical treatment to ensure that materials remain in their original form as long as possible. Conservation can also refer to the profession which devotes itself “to the preservation of cultural property for the future through examination, documentation, treatment, and preventive care, supported by research and education” (Association of Records Managers and Administrators, 2007, p. 7).

Likewise, preservation means “process and operation involved in ensuring the technical and intellectual survival of authentic records through time” (Association of Records Managers and Administrators, 2007, p. 19). Nowadays, the archival professions face issues with how to preserve digital materials as mentioned by Heazlewood (2000) and Vinasandhi (2015). Preservation must start at the moment the record is created and before it is transferred to the archives (Fricker, 2012, p. 21). According to continuum model regarding records as objects operating across space and time, it requires archivists to begin to control the creation and management of records across the continuum (Heazlewood, 2000, p. 175). Archivists can play more active roles by defining policies and standards that can guide organisations in terms of information management so that the problems of poor e-records preservation can be prevented by better managing records creation. One example of how the national archives can take part in preserving the public records of the country can be found in Australia. In 2011, the government in Australia set up the Digital Transition Policy to move all Commonwealth Government agencies from paper records management to digital records management. The National Archives of Australia supported this new government policy by developing the Digital Continuity Plan (Fricker, 2012, p. 21).

2.3 Standards and standardisation for records and archives management

This section introduces some of the existing records and archives management standards and standardisation processes. The records management standards mentioned here are grouped as *de jure* records management standards (e.g. ISO 15489, ISO 30300 series, ISO 23801) and *de facto* records management standards (DoD 5015.2-STD, MoReq). Archival standards are mentioned here under two clusters; archival description standards (i.e. data content standards, data structure standards, and data value standards) and preservation standards.

The Encyclopaedia of Archival Science (Duranti and Franks, 2015) draws a clear distinction between standards for records management and archival standards. Records standards are for the records still under the control of their creators and not yet transferred to an archives whereas archival standards focus on archival records (Hoffman, 2015, p. 87). Nowadays, the distinction between these two functions and therefore between the different kinds of standards is blurring and some regard some of these standards as integrated ones, which cover records during their entire life (from creation to their final disposition).

2.3.1 Records management standards

Records management is “the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records” (Franks, 2015, p. 350). For the professionals who are responsible for developing and conducting records management programmes and systems, there are many standards to use. For example, ISO 15489 which offers a tool for benchmarking records management systems. Then again, there are also many standards relevant to particular areas of records management such as legal compliance, quality assurance, security, preservation, information retrieval, etc. (Shepherd and Yeo, 2003, pp. 26–27).

Using Franks (2015, p. 350)’s categorisation of standards for records management, there are two types based on their value to records and information managers: *de jure* and *de facto* standards.

De jure records management standards

The first type is de jure records management standards which mean those standards adopted by official standards-setting organisations e.g. ISO, BSI, etc. Some examples of this type of standards are ISO 15489, ISO 16175, Implications of Web-Based, etc. (Franks, 2015, p. 350).

ISO 15489

In October 2001, ISO 15489, the first international standard for records management, was published and was expected to support wide scale improvements for records management systems and procedures as “an officially endorsed benchmarking model of best professional practices for global emulation” (Shepherd et al., 2011a, p. 113). ISO 15489 plays an important role in the codification and development of the records management discipline globally (Joseph et al., 2012, p. 58). ISO 15489 is based on AS4390:1996 Records Management. ISO 15489:2001 (International Organisation for Standardisation, 2001) is a voluntary code of practice which is published in two parts: ISO 15489:2001 Information and Documentation - Records Management - Part 1: General (20 pages) and ISO 15489:2001 Records Management – Part 2: Guidelines (40 pages). In 2016, a revised version of the Standard, ISO 15489:2016 Part 1: Concepts and principles, was released and ISO 15489:2001 Part 2 was withdrawn (International Organisation for Standardisation, n.d.).

ISO 15489 covers records management requirements, design and records system implementation, records management processes and controls. It defines the value and key processes of records management in the way that all levels of personnel (including non-technical and management) can understand the fundamental principles and model (White-Dollmann, 2004, p. 41).

ISO 15489 addresses a high-level framework for records management: requirements for records management system design, benefits of records management, requirements to comply with laws and the need to assign responsibility for sufficient records management policies and procedures (Joseph et al., 2012, p. 59). It details specifications for content, structure, and implementation of records management programmes. Furthermore, it is used for auditing records

management programmes because of its comprehensive nature with regard to current and non-current records and its clear categorisation of its requirements so that it is useful for auditing full and partial records management programs. It is also applicable to any organisation and covers all media (Crockett and Foster, 2004, p. 46). It offers best practice guidance on managing paper-based and electronic records and corporate memory and information assets (Joseph et al., 2012, p. 59).

The literature shows ISO 15489 is globally accepted. There are many case studies of ISO 15489 being applied in countries such as Commonwealth African nations, Iceland, Spain, UK, US, France, the Baltic states, Australia and New Zealand (Joseph et al., 2012, p. 59), China (An and Jiao, 2004), Thailand (Lerdwalayaratana, 2013), Jamaica, Slovenia (Oliver, 2014, p. 26), and many Anglophone countries (Williams, 2014, p. 4). The case study examples show that ISO 15489 is commonly employed as a benchmarking tool when designing and implementing records management. For example, it is employed to critically analyse records management issues in China, the National Library of France used it as a guide to design RM best practices to manage electronic records and the International Committee of the Red Cross used it to manage emails. In Australia the use of ISO 15489 has been “reported widely via case studies in practitioner publications more than in scholarly publications” (Joseph et al., 2012, p. 59) and non-English speaking countries have increasingly translated ISO 15489.

However, there are criticisms of ISO 15489. Firstly, there is a concern that ISO 15489 lacks guidance on the implementation of the tools mentioned in the Standard. Joseph et al. (2012, pp. 59–60) argue that it was not intended to serve as a “how to” guide, but its objective is to provide strategic directions to records management system implementation by defining the key principles and best practices for a good records management system as a benchmark or compliance standard. Secondly, one example from a case study of two merging global integrated energy companies reveals that reading and interpreting ISO 15489 can be “challenging and somewhat abstract” in standards users’ eyes (White-Dollmann, 2004, p. 41). Nevertheless, the team finally developed the checklist to implement the Standard in practice.

In conclusion, despite some problems when implementing ISO 15489 in the real-world environment, the evident popularity of ISO 15489 globally as an

internationally accepted standard proves that it is useful and effective at certain levels for records management. The case examples indicate that standards do not meet everyone's needs, but at the same time this does not mean that nobody understands and uses them. This international standard provides flexibility in how it is adopted globally across jurisdictions and industry types (Joseph et al., 2012, p. 69).

ISO 30300 series

ISO 30300 is designed to be the Records Management equivalent of the ISO27000 series (information security), ISO 9000 series (quality management), etc. (Int.20). ISO 30300:2011 (International Organisation for Standardisation, 2011a) and ISO 30301:2011 (International Organisation for Standardisation, 2011b) are the first two standards, published by ISO subcommittee, for management systems of records (Franks, 2015, p. 351). The ISO 30300 series indicates ongoing efforts by the records and archives profession to introduce guidelines for requirements for a Management Systems for Records (MSR) (ISO 30301), including implementation (ISO 30302), certification (ISO 30303), and assessment components (ISO 30304).

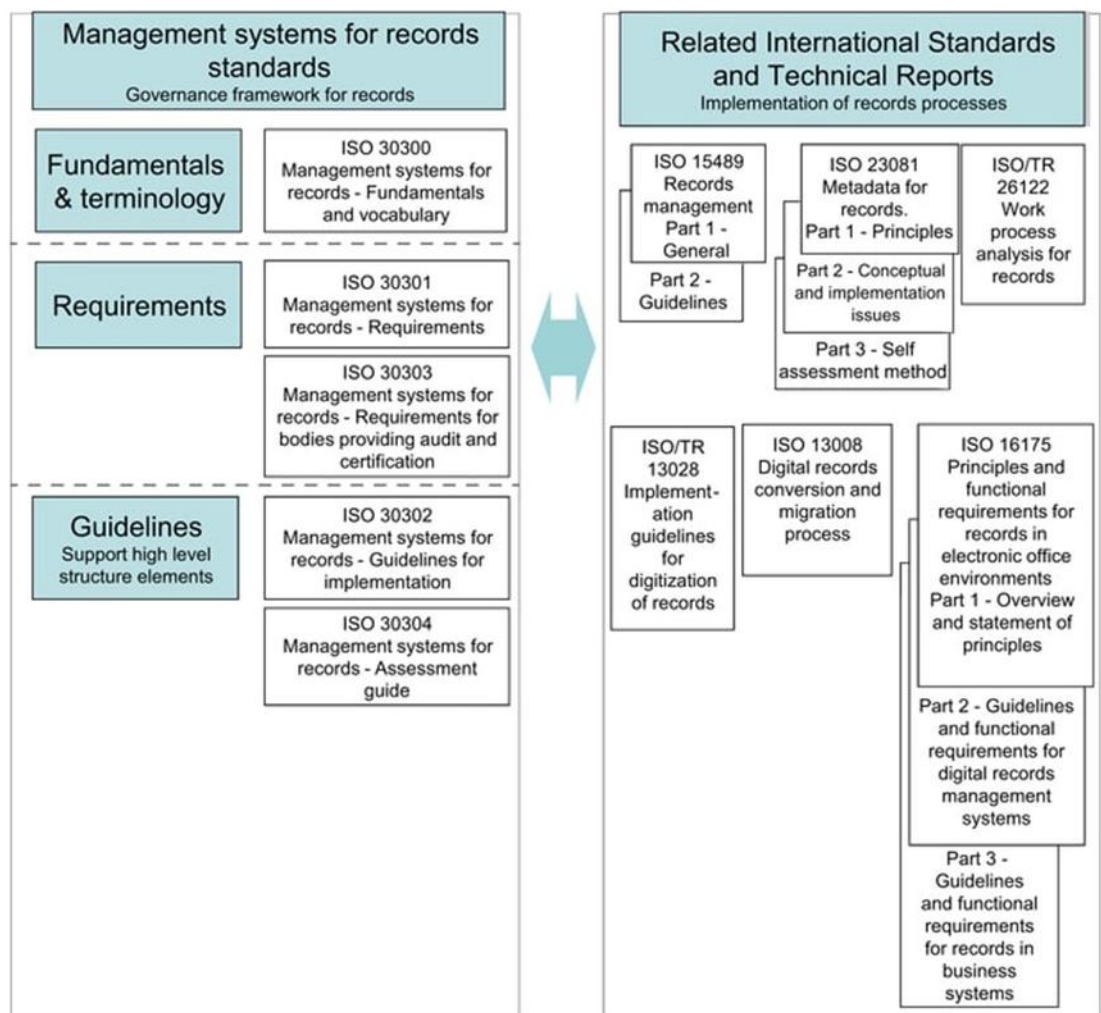
ISO 30300:2011 Management Systems for Records – Fundamentals and Vocabulary (International Organisation for Standardisation, 2011a) provides terms and definitions applicable to the Standards on MSR, objectives, principles and a process for a MSR, roles of top management.

ISO 30301:2011 Information and Documentation – Management Systems for Records – Requirements (International Organisation for Standardisation, 2011b) describes requirements for a MSR when organisations wish to achieve their mission, goals and strategies.

ISO 30302: 2011 Information and Documentation – Management Systems for Records – Guidelines (International Organisation for Standardisation, 2015a) supports ISO 15489 in terms of technical and operational content. This Standard upgrades the approach by encouraging senior management to manage records at a policy and risk-assessment level by managing technology and procedures, carrying out routine audits, and continuing improvement processes (Franks, 2015, p. 351).

The ISO 30300 series also allows organisations to seek certification for compliance with a MSR in the same way that they can seek ISO 9000 series certification (Joseph et al., 2012, p. 60). The intended audience of ISO 30300 is different from ISO 15489 because the ISO 30300 series is aimed at senior management to encourage them to prioritise records management practices at the management level in order that records management is aligned strategically with similar quality management, security management, and environment management systems (Joseph et al., 2012, p. 60). Moreover, it is applicable to any organisation aiming to establish, maintain, implement, or improve a MSR to support its activities and maintain conformity with its records policy, as shown in Figure 2-2 (Franks, 2015, p. 351).

Figure 2-2 Standards on MSR prepared by ISO/TC 46/SC 11 and related International Standards and Technical Reports (International Organisation for Standardisation, 2011c)



One definition of metadata is that it is the data (content, structure, value) stemming from archival description, which “refers to the intellectual content of material and aids in discovery of such materials” (Meehan, 2014, p. 86). Metadata helps “identify and authenticate records and information, as well as the people, processes, and systems that create, maintain, and use them” (Franks, 2015, p. 350). Many metadata standards and schema aim to facilitate interoperability between information systems, implemented in conjunction with one another.

Metadata is mentioned here because it contributes towards demonstrating records’ authenticity and recordkeeping processes’ accountability (Cumming, 2007, p. 196). Metadata capture should be included in the routine work of archivists.

One example of a standard relating to metadata is ISO 23081 Metadata for Records which is a guide to understanding and implementing metadata for records management within the ISO 15489 framework (Joseph et al., 2012, p. 67). ISO 23081:2006 Information and Documentation - Records Management Processes – Metadata for Records – Part 1: Principles (International Organisation for Standardisation, 2006) prescribes the principles, underpinning records management metadata which are applicable through time to records and metadata. It addresses all processes affecting records and metadata, the system in which they reside and the organisation responsible for their management.

ISO 23081:2009 Information and Documentation – Managing Metadata for Records – Part 2: Conceptual and Implementation Issues (International Organisation for Standardisation, 2009b) provides a framework, consistent with the principles outlined in ISO 23081 Part 1, for identifying metadata elements.

ISO/TR 23081-3: 2011 Information and Documentation – Managing Metadata for Records – part 3: Self-Assessment Method (International Organisation for Standardisation, n.d.) is guidance for carrying out a self-assessment on records metadata in terms of creation, capture, and records controls (Franks, 2015, p. 351).

ISO 23081’s scope is to help understand metadata from the perspective of records and archives management. The Standard defines two forms of metadata for

recordkeeping: the point of capture metadata and the recordkeeping process metadata. Due to the fact that metadata differ in detail, in compliance to organisational or specific requirements for jurisdiction, this Standard does not set a mandatory set of records management metadata elements. Nevertheless, this Standard assesses the existing metadata sets to check if they are in line with ISO 15489's requirements (Joseph et al., 2012, p. 67).

De facto standards for records management

Franks (2015, p. 352)'s second type is de facto standards for records management. Examples are the Department of Defence standard DoD 5015.2-STD Electronic Records Management Software Applications Design Criteria Standard and MoReq. This type of standard sets forth jurisdiction-specific requirements based on legal requirements within that jurisdiction. DoD 5015.2 and MoReq are related to the advent of EDRMS standards in the 1990s as accompanied by the publication of records management standards such as ISO 15489 in 2001 (Wilhelm, 2009, p. 118).

In 1997, DoD 5015.2 was introduced by the U.S. Department of Defence and the standard was later endorsed by the National Archives and Records Administration for all governmental agencies in the US. It is also adopted and referred to by organisations in the private sector (Franks, 2015, p. 352).

The Model Requirements for the Management of Electronic Records (MoReq) was developed by Cornwell Affiliates for European Commission's Interchange of Data between Administration (IDA) initiative (Cain, 2003, p. 54), assisted by an international review panel (drawn from the UK, France, Germany, Italy, Netherland, Portugal, and Canada). MoReq (2001), as a generic specification for electronic records systems, is not an official standard (Cain, 2003, p. 54). Its target audience includes every economic sector (business and public organisations). It is useful for designing, selecting, and auditing systems for electronic records. For broad potential use, MoReq (2001) was divided into mandatory and optional elements by using terms "must" and "should" (Cain, 2003, p. 56). MoReq (2001) was translated into twelve languages and used as a benchmark for developing and reviewing many national standards i.e. TNA 2002, ReMANO of the Netherlands, NOARK 4 of Norway (Wilhelm, 2009, p. 119). In 2008,

MoReq2 was issued. The Netherlands and Norway released new versions of their national standards in parallel with MoReq2 (Wilhelm, 2009, p. 118). Singapore, wider Asian, and South American countries were interested in MoReq2. Many Canadian organisations attempted to implement MoReq2 in their system. Eastern European countries, especially Slovenia, wished to apply this standard whereas West European countries were hesitant to implement MoReq2 (Wilhelm, 2009, p. 126). MoReq2010 was released for the European Commission. MoReq2010 aims to be applicable to divergent information and business activities, industry sectors, and types of organisation. MoReq2010 has been used widely in European Union (Franks, 2015, p. 352).

2.3.2 Conclusion

The standards mentioned in this section are those widely used by records management professionals. There are also other related standards covering not only recordkeeping practices, but also quality management, security, risk management, metadata, etc. In this thesis, these records management standards are not discussed in more detail because many Thai archives, including the NAT, do not apply these standards (previous research by Lerdwalayaratana (2013) shows only one Thai institution adopting ISO 15489).

2.3.3 Archival standards

Archival standards are those “developed and used in the domain of archives” (Hoffman, 2015, p. 86). International archival standards can be created by national or international organisations e.g. the ISO, the Committee for Descriptive Standards (CDS) of the ICA, W3C for web-based standards, national standardisation bodies (e.g. ANSI, BSI), the Society of American Archivists (SAA), or the national archives in some countries. Hoffman (2015, p. 87) categorises archival standards into two main clusters: archival description standards and digital preservation standards.

2.3.4 Archival description standards

Archival description standards are “accepted guidelines, rules, and specifications that prescribe methods to produce uniform and consistent products or finding aids promoting access to primary source materials” (Weber, 1993, p. 106). Standardising descriptive practice ensures consistency and uniformity, provides

quality assurance benchmarks, makes descriptions easier to use, and provides an indication of archival professionalism (Yeo, 2010, p. 96). Archival description standards offer practitioners an opportunity to accurately and reliably represent the records' authenticity and context (Scifleet, 2001, pp. 397–398). The standards facilitate data sharing, remote access, systems development and cross-institutional online services which help facilitate knowledge dissemination by making archival materials available to public. Robust archival description covers four core areas: context, content, structure, and function (Schaefer and Bunde, 2013, pp. 17-18).

Archival description standards can be categorised in many ways. Bearman (1993b, p. 162) says there are four types of description standards: information system standards, data structure standards, data content standards, and data value standards. Similarly, Schaefer and Bunde (2013, p. 20) categorise archival description standards into four groups: data structure, data content, data value, and metadata/companion standards. It is important to know about each type of archival description standard because each of them “requires attention to somewhat different factors” (Bearman, 1993b, p. 162). Also knowing them helps promote the standards and achieve the goals of adopting them. This thesis chooses not to categorise archival description standards into groups, but rather introduces some of the main standards (detailed below) that deal with archival description.

General International Standard Archival Description or ISAD(G)

In 1993, the Ad Hoc Commission on Descriptive Standards of ICA (ICA/DDS), established in 1991, created and developed ISAD(G). In 1994, the “first edition of the new General International Standard on Archival Description” was published after a wide consultation with the archival community at an international level (Hoffman, 2015, p. 87). Its purpose was “to identify and explain the context and content of archival material in order to promote its accessibility”. In 2000, the second revised edition was adopted in August. Significant changes were made to simplify its content, to make it more inclusive to electronic records, and to include more examples (Cumming, 2015, p. 393). ISAD(G) prescribes six core elements required for data exchange and it is highly structured by putting twenty six data elements into seven areas (International Council on Archives, 2000). The twenty six elements are used to structure the information surrogates that describe archival materials (Scifleet, 2001, p. 398).

The purposes of ISAD(G) are to facilitate information exchange and the retrieval of archival materials, to enable authority data sharing, and to facilitate integration of descriptions from different repositories into a unified information system (if possible) (International Council on Archives, 2000). ISAD(G) sets out four principles of multilevel archival description. First of all, description proceeds from the general to the specific. Secondly, only information relevant to the level of the unit being described should be provided. Thirdly, levels of description should be linked. Finally, information should be listed only at the highest applicable unit of description to avoid redundancy. Moreover, ISAD(G) supports the concept of multilevel description by suggesting that “an archive must have at least two levels of description (the multi-level rule)” (Shepherd and Pringle, 2002, p. 19).

The most important change of the second edition is the introduction of separate ‘context’, ‘content’ and ‘structure’ areas (Scifleet, 2001, p. 400). This improvement allows archivists to describe the context of records by following the structure of external authority files which are separate entities. This is why ICA produced a companion standard to ISAD(G), namely ISAAR(CPF) (Cumming et al., 2001, p. 395). Another important change in the second edition of ISAD(G) (International Council on Archives, 2000) is an emphasis on managing intellectual control over records throughout their entire life (e.g., through creation, appraisal, accessioning, arrangement and conservation), thereby acknowledging a role for archival description in managing electronic records from creation onwards (Scifleet, 2001, p. 401). ISAD(G) is adopted worldwide and serves as the foundation of many national archival description standards (Schaefer and Bunde, 2013, pp. 37–38). As an international standard providing general rules, ISAD(G) may be adapted by the development of national archival description standards (Hoffman, 2015, p. 87).

International Standard Archival Authority Record for Corporate Bodies, Persons, and Families – ISAAR(CPF)

In 1996, ISAAR(CPF) was first published by the ICA’s Ad Hoc Commission on Descriptive Standards. It provides a standard for “the construction of authority records for corporate bodies, persons and families, by giving details of a set of information elements that can be included in such archival authority records” (Cooknell, 1999, p. 27). ISAAR(CPF) (International Council on Archives, 2004) facilitates information retrieval through standardised access points as it promotes

consistent and appropriate descriptions of the persons, families, and corporate bodies which are creating entities.

In 2003, the second edition of ISAAR(CPF) (International Council on Archives, 2004) was adopted which sets out four information areas outlining the elements for archival authority records: the Identity Area, the Description Area, the Relationships Area, and the Control Area. ISAAR(CPF) aims to provide access points to archival materials (especially when records of the same provenance are dispersed), to support information exchange between institutions or systems, and to promote the concept of context underlying the creation and use of records (Ottosson, 2005, p. 1).

International Standard for Describing Functions (ICA-ISDF)

ICA-ISDF (International Council on Archives, 2007) is for capturing information about the functions of the records. These functions are performed by creators and result in the existence of records. Functions help identify and track business activities over time e.g. agency names and responsibilities change. Descriptions of functions can also be linked to descriptions of the (sometimes multiple) administrative offices that perform them (Schaefer and Bunde, 2013, pp. 42–43).

Encoded Archival Description (EAD)

The origin of EAD (Library of Congress, 2018) lies in a project in 1993, organised by the University of California, Berkeley, Library to investigate a non-proprietary method of encoding machine-readable finding aids. In 1997 EAD, the first data structure standard developed by the archival community, was released and it was updated in 2002 (Cooknell, 1999, p. 29). EAD is “a model for standardising, encoding and structuring the archival description that exists in the form of archival finding aids so that it is accessible via the internet” (Australian Society of Archivists, Committee on Descriptive Standards, 2008, p. 64). This data structure standard is specifically designed for archival finding aids in an automated environment and originally took the form of a Document Type Definition (which follows the syntactic rules of Standard Generalised Markup Language) and Extensible Markup Language (XML) (Sweet, 2001, p. 33). EAD combines web-based searching, display, retrieval, and structuring strategies with traditional finding aids (guides, registers, inventories, calendars) (Australian Society of Archivists, Committee on Descriptive Standards,

2008, p. 64). Moreover, EAD is compatible with ISAD(G). Although EAD is not a cataloguing standard as such, it does provide a standardised method of data presentation in a machine-readable format.

Encoded Archival Context - Corporate bodies, Persons and Families (EAC-CPF)

EAC is based on ISAAR (CPF). It is an XML-based method of encoding descriptive data of archival provenance entities. EAC is created to represent and facilitate searching on the contextual information required to support finding aids in EAD encoded format (Australian Society of Archivists, Committee on Descriptive Standards, 2008, p. 64). EAC supports the context information of archival materials which has often been included in administrative histories in traditional finding aids. Moreover, it is designed to facilitate data exchange between archives, libraries, and museums (Ottosson, 2005, pp. 1–2).

Records in Contexts (RiC)

In 2012, ICA set up the Experts Group on Archival Description (EGAD) as a partial successor to the Committee on Best Practices and Standards. Since 2012, EGAD has been responsible for developing a comprehensive standard for archival description which integrates four existing standards: ISAD(G), ISAAR(CPF), ISDF and ISDIAH (Experts Group on Archival Description, 2016, p. 1).

EGAD produced a two-part standard with an attempt to create description which is fit for the 21st century. In September 2016 they published the first draft of Records in Contexts (RiC), a Conceptual Model (RiC-CM) that provides a generalised perspective of archival description, through the identification of records-related entities, properties and the relations between them. The second part will be an ontology for archival description (RiC-O), based on RiC-CM (Pitti et al., 2018, p. 173). RiC offers a new approach for representing, reusing, and accessing archival information in a web context. RiC development has also been in compliance with ISO 23801 and ISO 15489 (Popovici, 2018, p. 189).

The target audiences for this new standard are the archival community, the records management community, the cultural heritage communities (libraries,

archives, museums, curated cultural sites and monuments), developers of records management and records description and access systems, and the research users of archives (Experts Group on Archival Description, 2016, pp. 2–3)

RiC-CM built on and accommodated four existing ICA description standards and sought to adapt to new possibilities presented by new information and communication technologies. RiC-CM is designed to act as an archival conceptual model in the 21st century post-modern context, and serves three fundamental roles: management of records, preservation of records and ongoing use and reuse of records in a digital context (Llanes-Padrón and Pastor-Sánchez, 2017, p. 393). RiC-CM adopts multidimensional description where the description takes the form of a graph or network rather than a hierarchy. The multidimensional model allows the fonds to apply in a broader context and to link to other fonds (Experts Group on Archival Description, 2016, p. 10). It presents the description of records and records sets, their interrelations with other entities (agents, functions, activities and norms). Consequently, this allows for more accurate archival description, better contextualisation, and better scope for using and interpreting records (Popovici, 2018, p. 197).

EGAD is also developing RiC-O (a W3C OWL ontology) for implementation of the RiC-CM model to publish archival data on the web. Ontologies provide the capacity for semantic interoperability and enable complex descriptions of objects and of logical relations (Llanes-Padrón and Pastor-Sánchez, 2017, p. 395). RiC-O will make archival description available using the techniques of Linked Open Data (LOD) and adopts a conceptual vocabulary and structure which is specific to archival description. RiC-O is still in the process of development because the ontology must be aligned with the RiC-CM (Experts Group on Archival Description, 2016, p. 2).

By 2017, EGAD was aware that it needed to develop implementation guidelines, after the eventual release of complete versions of RiC-CM and RiC-O because the RiC model may be complex and novel for many audiences (Australian Society of Archivists Inc., 2017, p. 1).

2.3.5 Digital preservation standards

Digital preservation standards do not just cover archival records, but are concerned with the “archiving” all digital information objects. The term “archiving” derives from an ICT perspective which sees it as meaning “storing digital information when it is no longer needed for immediate use” (Hoffman, 2015, p. 88). Digital preservation standards deal with issues of; management, descriptive information and metadata, certification and audit, preservation requirements, preservation processes, and technical details. Digital preservation standards are developed by many organisations. For instance, ISO 14721:2003 Open Archival Information System (OAIS), a reference model for the preservation of digital information was developed by the Consultative Committee for Space Data Systems (CCSDS) (International Organisation for Standardisation, 2012).

An example of a digital preservation standard on the process level is ISO 13008:2012 Digital Records Conversion and Migration Process which is a guideline for planning, requirements, procedures for digital records (digital objects, metadata) and for their conversion or migration to preserve their reliability, authenticity, integrity, and usability (Hoffman, 2015, p. 89). Another example of a digital preservation standard on a technical level is the ISO 19005 series. It focuses on paper-based records conversion into digital versions by using scanning technologies and techniques. Recently, the ISO 13028:2010 Implementation Guidelines for Digitisation of Records was released to support digitisation initiatives because it provides best practice guidelines for digitisation to ensure records’ trustworthiness and reliability and also enables consideration of disposal of the non-digital source records (International Organisation for Standardisation, 2010).

2.3.6 Archive Service Accreditation (ASA)

The literature review shows that there are existing standards regimes in the UK relevant to archival practice. Archive Service Accreditation (ASA) is the UK standard for archive services and aims to support archives to manage and improve efficiency and effectiveness through external validation and by identifying good practice (The National Archives, n.d.).

The purpose of ASA is to ensure the quality of archival services by encouraging a holistic approach to planning and implementing service delivery (The

National Archives, 2018d, p. 2). ASA was developed due to a necessity to have a single operational standard for all kinds of archive service and was the result of a consultation and co-creation process with the archive sector across the UK which took place before it was launched in July 2013.

ASA is managed by the ARA (UK), TNA, Archives and Records Council Wales, National Records of Scotland, Scottish Council on Archives, Public Record Office of Northern Ireland, and the Welsh Government through its Museums, Archives and Libraries Wales division. The ASA Committee, responsible for overseeing the scheme and awarding accredited status through Accreditation Panels, consists of members nominated by the UK Accreditation Partnership or recruited externally. The members are current or retired archival practitioners. The ASA Panel consists of members drawn from the governing ASA Committee. Panellists meet several times per year to review recommendations and award accredited status.

ASA supports archival services' development by defining good practice and agreed standards for archival services across the UK. ASA can be applied by both private and public sector archives as it allows archivists to provide assurance that standards are being maintained by all kinds of archival service (approved as Places of Deposit) (The National Archives, 2018c, p. 1).

2.3.7 Standardisation processes of ICA

This section discusses the standardisation processes of the ICA, in particular those it has employed in developing ISAD(G) and Principles of Access to Archives. The International Council on Archives (ICA) is a non-governmental organisation that works and acts internationally. ICA's work concerns "records and archives and their role in the conduct of public and private activities; the protection of individual and collective rights; the advancement of human knowledge and culture; and good corporate and public governance" (Association of Records Managers and Administrators, 2007, p. 27).

In 1950, the ICA was officially founded at the First International Congress on Archives in Paris (Stibbe, 1993, p. 151). Nowadays, ICA has approximately 1,900 members in 199 countries and territories (International Council on Archives, 2016a). ICA has five categories of membership: category A (Central archive directorates or

national archival institutions), category B (National or International professional Association), category C (Institution concerned with the administration or preservation of records and archives or in archival training and education), Category D (Individual member), and Category D Digital (Individual Digital Member) (International Council on Archives, 2016a). The ICA represents the interests of international professional archivists, as an institution-based organisation, even though individual membership is now available (Reed, 2011, p. 124).

ICA has thirteen regional branches ALA, ARBICA, CARBICA, CENARBICA, EASTICA, ESARBICA, EURASICA, EURBICA, NAANICA, PARBICA, SARBICA, SWARBICA, and Warbica (International Council on Archives, 2016b). It is governed by the ICA General Assembly, which meets every four years for an International Congress to make decisions concerning constitutional and organisational affairs and priorities for actions in the next four years. The General Assembly also elects a President, Vice-Presidents, and members of the Executive Committee (Stibbe, 1993, p. 151).

The ICA establishes professional best practices and standards in many areas of archival practice (not only archival description) because its aim is “to encourage the preservation, development, and use of the world’s archival heritage and the promotion of appropriate training, best practices and standards, and international cooperation” (Association of Records Managers and Administrators, 2007, p. 27). Its activities are performed through the sections, committees, and working groups which all have their own meetings to direct the professional programme (Stibbe, 1993, p. 152).

Since 1993, ICA, through the Committee on Best Practices and Standards, has developed a number of standards, the first of which was the General International Standard Archival Description – ISAD(G). According to Reed (2011, p. 124), the development and approval process for an ICA standard starts with a proposal or submission by an individual or organisation. Next a text is developed that represents various points of view, public reviews, comments, and incorporation of comments. Afterwards, recommendations on the proposed standard are made to PCOM (Programme Commission) before successful proposals are then taken forward for endorsement by the Executive Board.

In this thesis, the author uses the process of creating ISAD(G) and the Principles of Access to Archives as examples to demonstrate the above development process.

The process of developing ISAD(G) is detailed in “ISAD(G): general international standard archival description : adopted by the Ad Hoc Commission on Descriptive Standards, Stockholm, Sweden, 21-23 January 1993: final ICA approved version” (Ad Hoc Commission on Descriptive Standards of International Council on Archives, 1994). This is the main source for the following account.

In 1990, ICA/DDS (the Ad Hoc Commission on Archival Description) was set up and consisted of Christopher Kitching (UK) as chairman, and members from France, Sweden, Spain, Portugal, Australia, the USA and Malaysia (Cook, 1995, p. 16). In October 1990 – the sub-group of the Ad Hoc Commission on Descriptive Standards was founded at the first plenary of the Commission during its meeting in Germany (Ad Hoc Commission on Descriptive Standards of International Council on Archives, 1994, p. 2). The Sub-group of the Ad Hoc Commission on Descriptive Standards developed a draft version of ISAD(G): general international standard archival description.

In 1992 the draft ISAD(G) was formally adopted at the Ad Hoc Commission in Madrid, Spain (Ad Hoc Commission on Descriptive Standards of International Council on Archives, 1994, p. 2). It set out basic principles or common assumptions that needed to be accepted before further progress could be made on developing a description standard (Cook, 1995, p. 16). The draft was circulated to the international archival community for comment and translated into the languages of the ICA. It was distributed at the 12th International Congress on Archives in Montreal and discussed in an open session (Ad Hoc Commission on Descriptive Standards of International Council on Archives, 1994, p. 2, Cook, 1995, pp. 19–20).

In 1993 the Commission met in Stockholm to examine and revise the draft in response to the comments received from the worldwide review and the open session in Montreal. The Commission then published “ISAD(G): general international standard archival description: adopted by the Ad Hoc Commission on Descriptive Standards, Stockholm, Sweden, 21-23 January 1993: final ICA

approved version” (Ad Hoc Commission on Descriptive Standards of International Council on Archives, 1994, p. 2).

Another example of the process is that of developing the Principles of Access to Archives. In this case, the first step was to establish a working group (Peterson, 2011, pp. 93-96). Then, in 2004 a session on standards held at the ICA Congress in Vienna, Austria specified the need for a standard on archival access. In 2008 there was a discussion on access by Marion Beyea, as the chair of the ICA Committee on Best Practices and Standards, at the ICA Congress in Kuala Lumpur, Malaysia. In 2009, a drafting committee was established consisting of individuals from different government archives, from across the ICA regions, e.g. ALA (Latin America), EASTICA (East Asia), EURBICA (Europe), PARBICA (Pacific) and NAANICA (North America), a private records manager, and a university archivist. The working group read existing statements on access produced by national associations and institutions and decided that they would create an ICA document (rather than an ISO-type standard) and focus on archives (not current records). The group determined that they would develop an ICA statement on access to archives, held in all types of archival institutions and not limited to government archives (Peterson, 2011, p. 96).

The second step was the working group meetings. The group chose to develop a statement of principles rather than a standard, a guideline, or a best practice statement (Peterson, 2011, p. 96). They decided that the format of the principles would be the same as the ICA Code of Ethics: the basic principle, followed by a short discussion. A technical report accompanied the statement of principles to provide guidance on how to apply them. The group decided to build on the formats already use in the ICA and in addition a glossary and some sample forms were included (Peterson, 2011, p. 97).

The third step was developing the actual statement of principles. The Consultative group decided to eliminate the word “records” as much as possible in favour of “archives” to ensure that the language was clear for translation from English to French (Peterson, 2011, pp. 98-99). Afterwards, the Executive Board meetings discussed the draft Principles and contributed their comments on the draft. The draft Principles, the technical report and the Glossary were translated into French.

The fourth step was seeking public comments (Peterson, 2011, pp. 99-100). The draft Principles were discussed by various ICA and professional association groups e.g. the Section of University Archives, the Section of Professional Associations. The draft Principles were also put out for consultation on the SAA (The Society of American Archivists) website.

The final step was producing a final draft. This final draft went to the Executive Board for its approval. It was translated in to French and discussed at the ICA's Annual General Meeting in Brisbane, Australia. Finally, the Annual General Meeting unanimously adopted the Principles of Access to Archives as an international statement of best practice (Peterson, 2011, pp. 99-100).

The author also received insight into the ICA standardisation processes from some of those she interviewed in the UK, as some of these individuals had been directly involved in those processes. For example, one UK participant highlighted some of the disagreements that had occurred in the development of ISAD(G), e.g. "the Australian did not think it was a good idea at all, so they put forward their proposals for the series" (Int.18). This demonstrates how it is sometimes difficult to achieve consensus when developing international standards and the same participant also mentioned how she, and her colleagues drafting ISAD(G) assumed that "there would be a lot of resistance from the French who have got a very strong standard, description and manual of practice" (Int.18) and were surprised when they found that the strongest opposition came from the archival communities of Australia and US because they were developing their own standards. As they put it "Australia was particularly strong in this and the Americans themselves did not accept international standard" (Int.18).

2.4 Standards and standardisation more generally

2.4.1 Definitions of standards

Standards are applied in many fields including records and archives management thus standards are defined in various ways through the views of different professions. There are many definitions of what a standard is and each definition has a particular perspective to define standards in its field. For the industry sector, the definitions of standards vary but also have some common characteristics, for example, a specification about an object.

At an international level, the definition of a standard published by ISO explains that “a standard is a document, established by a consensus of subject matter experts and approved by a recognised body that provides guidance on the design, use or performance of materials, products, processes, services, systems or persons. Standards are voluntary agreements, developed within an open process that gives all stakeholders, including consumers, the opportunity to express their views and have those views considered. This contributes to their fairness and market relevance, and promotes confidence in their use” (International Organisation for Standardisation, n.d.).

Similarly, in Thailand, the definition of a standard in an industrial setting can be found in official documents i.e. the Industrial Products Standards Act B.E. 2511(1968). In 1968, the Industrial Products Standards Act B.E. 2511(1968) was promulgated with approval of the Cabinet. As a result, in 1969 the Thai Industrial Standards Institute (TISI) was established under the Ministry of Industry, by Section 4 of the Act. Section 3 of the Act includes a definition of standards, stating that a standard means a specification of one or more descriptions concerning the following:

(1) kind, type, shape, dimension, manufacture, equipment, quality, grade, component, faculty, durability and safety of the industrial products; (2) methods of manufacture, design, drawing, usage, material used for the industrial products and safety concerning the manufacture of industrial products; (3) kind, type, shape, dimension of packages or other kinds of containers including the making of packages or other kinds of containers, and methods of packing, wrapping or binding and materials used therefore; (4) methods of experiment, analysis, comparison, examination, testing and weighing and measuring in volume and size concerning the industrial products; (5) proper name, abbreviation, symbol, sign, colour, number and unit of technical process concerning industrial products; (6) other specifications concerning industrial products according to the Notifications of the Minister or the Royal Decrees (World Intellectual Property Organisation (WIPO), n.d.).

Apart from the definition of standards for industry, there are definitions in other fields as well, due to the flourishing of standards compliance in many sectors. These definitions of standards from ISO and TISI differ, although they are both for industrial settings, in that the ISO definition is more general than TISI's one. The TISI provides more details about the definition of standards, based on the Industrial Products Standards Act B.E. 2511(1968). This indicates that the definitions of standards are not necessarily written in the same way.

Similarly, for information professionals, the definitions of standards for libraries are quite different from those in the industrial sector. Definitions of standards in libraries are more about criteria, assessment, and services. For instance, the American Library Association (ALA), in its Policy Manual defines standards as “policies which describe shared values and principles of performance for a library. Standards documents: (1) Tend to be comprehensive, covering a broad scope of programs and services provided by a library (2) May define both qualitative and quantitative criteria (3) Present goals toward which the profession aspires (4) May include statements expressed in relative terms; that is, by relating library performance to norms derived from a reference population (5) Set criteria for the decisions and actions of those concerned with the planning and administering and accrediting of library services” (American Library Association, n.d.).

Moreover, at a national conference held by the Library of Thammasat University, Department of Library Sciences of Thammasat University, and Thai Library Association with sponsorship from UNESCO in 1989, the definition of a standard was discussed. It stated that a standard is

“a specification to achieve or to follow in order to produce desired outcome. It is criteria for benchmarking and assessing. The specification is set up after carefully scrutinising or scientific researching. It is important tool for every operation. While bibliographic standard is standard set up for creation and development of information materials cataloguing. It is clear and basic specification for material cataloguing which leads to the same practice” (Thammasat University’s Library, 1989, p. 5).

Secondly, standards are formulated by a person or organisations thus definitions of standards can derive from a person (scholars, experts, practitioners) or an organisation (either government (TISI) or non-government (ICA, ISO)). Since standards can be created by a person or a professional organisation, from the public or private sector, relating to the subject, it is usually standard users who participate in their creation (Visavapaisarn, 1993, p. 95). Normally, a high-ranking government body or professional organisation is responsible for accreditation and promulgation. Moreover, many public and private organisations creating standards are responsible for supervising, controlling, and supporting the use of standards. The process of a standard’s creation and encouraging its application is called standardisation (Visavapaisarn, 1993, p. 95).

Thirdly, case examples from literature review indicate that information professionals in records and archives management have definitions about standards focusing on assessment, similar to definitions of standards in libraries field. For instance, the Archives and Records Management Section (ARMS), an office responsible for the records management of the UN, says in its glossary that standards are “a benchmark or reference to establish desirable quality or practice” (United Nations Archives and Records Management, 2012). Bell (2011, pp. 25–26) defines a standard as “an agreed and accepted process or series of processes to assist in achieving a recognised goal, or technical or other specification that sets out the requirements for specified actions, outcomes or products”. A similar definition of standards can be found in the Society of American Archivists (SAA) Glossary which defines a standard as “an international, national, or industry agreement that establishes qualities or practices in order to achieve common goals” (Dryden, 2007, p. 133).

In conclusion, it can be seen from the definitions above that standards contain some elements which relate to quality, assessment, and achieving goals. The author defines a standard as a written document that provides the specification or requirements for a desirable quality of materials, processes, practices or services. A standard is developed by a consensus of experts or stakeholders relating to subject matter.

2.4.2 Categories of standards

Standards come in various forms; physical items, published norms, particularly standard units of measures, or written documents. Particular applications of standards are as follows (Spivak and Brenner, 2001, p. 2). The first is physical standards or units of measure. The second is terms, definitions, classes, grades, ratings, or symbols. The third is test methods, recommended practices, guides, and other application to produces and processes. The fourth is standards for systems and services i.e. quality standardisation and related aspects of management systems standards for quality and the environment. The fifth is standards for health, safety, consumers, and the environments.

Content of standards

Standards can be categorised into four types based on their content. They are measurement standards, process standards, performance standards, and interoperability standards (Henderson and Dai, 2013, p. 13).

The first type is metric or measurement standards used for measuring ordinal values e.g. size of a box or microfilms, volume measurements, etc. This type of standard is useful for suppliers and customers who produce and/or purchase a product or service (Henderson and Dai, 2013, p. 13). One Thai example of a measurement standard in this study is the standard for environment control in archival repositories i.e. Standard for Records and Archives Preservation of the National Archives 2012 (Fine Arts Department, 2012).

The second type is prescriptive standards which provide normative activities or processes. They describe the sequence of an operation and detail the methods required to operate the tests or processes in a consistent and repeatable way (Henderson and Dai, 2013, p. 13). An example of this type of standard is the Thai Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999).

The third type is performance standards. These standards are fundamental for benchmarking because the performance-based standards set levels of behaviour to encourage practitioners to aim for the highest level or the best practice. They also describe the performance requirements (Henderson and Dai, 2013, p. 13). An example of a performance standard in this study is the Thai Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999).

The fourth type is compatibility or interoperable standards. They are set for at least two different activities to ensure that these activities use the same method or specification. The interoperable standards may not prescribe the performance and process, but they require a fixed format (Henderson and Dai, 2013, p. 13). The obvious examples are the standards for archival description.

Finally, it should be noted that some standards can be combinations of the content because they represent more than one type of contents.

Brunsson (2000, p. 4) also categorises standards by their content, distinguished into three types, which are standards about being something, standards about doing something, and standards about having something. First, standards which are about being something, are the “standards that classify things in a standardised way” such as the metric system, the Celsius temperature scale. They are classificatory standards for measurement (Brunsson, 2000, p. 4). For records and archives standards, the standards about being something can be found in the form of general and technical glossaries that specify the meaning of words and technical terms.

The second type is standards for what we do. These standards can be found in records and archives institutions as the standards relating to the service that an organisation offers to the users or customers. Brunsson (2000, pp. 4–5) explains that the standards for what we do primarily emphasise procedures, rather than outputs or products. For instance, the standards mentioning quality refer to the management process that aims to achieve high quality instead of referring to the quality actually achieved. The standards for what we do can be found in the official documents containing visions, missions, and policies of the NAT which describe the service, the output, and the goals the organisation wants to achieve, rather than the services which are currently provided to users in reality (National Archives of Thailand, n.d.).

The third type is standards for what we have. Brunsson (2000, p. 5) says that due to the expectation of standards developers, there is an increasing number of this type of standard which identifies what an organisation should have. For example, an organisation should have clear goal, strategic plan, management system, quality control system, etc. For records and archives institutions, the standards for what we have can be seen in strategic plans and policies, emergency plans for disasters or accidents to secure the archival repository, back-up for digital repository, etc.

Origin of standards

Based on their origins, standards can also be categorised by the process by which they are created, into two types: de jure and de facto standards (Henderson

and Dai, 2013, p. 14). This categorisation of standards represents two types of stakeholders engaged in the standard's formulation.

The first type is *de jure* standards which refer to standards created by an official standards organisation. They are promulgated by a governmental agency. *De jure* standards do not need to represent consensus in the field, but they are those selected by authorising bodies (Henderson and Dai, 2013, p. 14). *De jure* standards exist by a legal right and exercise rightful entitlement because they are authorised in law and draw their legitimacy from legal status, rather than community acceptance (Bell, 2011, p. 36). A *de jure* standard can avoid competition costs, but its success or popularity depends on the judgment for selection. Also a gap between the priorities of decision makers and practitioners may happen when adopting *de jure* standards. Hence, some *de jure* standards may not always be widely accepted (Schaefer and Bunde, 2013, p. 13). Examples of *de jure* standards include those adopted by official standards-setting bodies e.g. BSI, ANSI, ISO. One example is ISO 16175 Principles and Functional Requirements for Records in Electronic Office Environments (Franks, 2015, p. 350).

The second type is *de facto* standards which emerge through a market-driven consultation process. *De facto* standards are the rules, specifications, or guidelines that change from being a norm to being a standard. They exist in reality, although not necessarily by legal right, and they have been accepted for practice in the professional community (Bell, 2011, p. 36). *De facto* standards are widely accepted, used, and have achieved a dominant consensus position in the field without the official approval of a standard authority. Since a *de facto* standard emerges from consensus, the winning standard can reflect the dominant technology in that field. Also, it can be sponsored by an organisation (Henderson and Dai, 2013, p. 14). Some *de facto* standards can become *de jure* standards when they are adopted by standards-setting bodies. Examples of *de facto* standards include a Manual of Archival Administration by Sir Hilary Jenkinson which codified archival practice at the Public Record Office (Bettington, 2008, p. 156), EAD which was developed as the international *de facto* standard for archival description communication (Ottosson, 2005, p. 3), the development of Web navigation, and Microsoft software applications which are rapidly becoming *de facto* standards for word processing worldwide (Cain, 2003, p. 56).

In Thailand, Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) and Standard for Records and Archives Preservation of the National Archives 2012 (Fine Arts Department, 2012) were created by the NAT under the supervision of the Fine Arts Department which is a governmental agency. They are de facto standards because neither is enforced by any legislation although they were created to facilitate the implementation of laws relating to recordkeeping across the public sector. These standards were created by professional archivists at the NAT, which is quite a small community, and initially applied and accepted in its domestic environment.

The characteristic of being a de jure or de facto standard is crucial because it indicates the scope and the authority of implementation. This characteristic also links to the process of standards creation and formulation. No matter how the standard is formulated, the more significant step is how the standard creator positions the standard and what they want the standard to be. In terms of the standards of the NAT, both standards are published texts and are officially titled 'standard'. Apart from these two standards, there is practical guidance produced by each unit of the NAT archivists. The guidance is formulated as general guidelines for practitioners but also serves as standards in that they set the rules for practitioners when they perform their jobs. The two published standards can be described as half 'official' or half 'de jure' in that they are not mandatory for the other archives outside the NAT to follow; however, the standards publications are released by a legal authority which is Fine Arts Department under the Ministry of Culture.

Developers of standards

From the literature review, another way to categorise records and archival standards is to identify the standard from its developer. Bell (2011, pp. 29–32) describes four categories of standardising bodies which create and develop standards.

The first category is legislative or governmental agencies e.g. TISI, NAT, National Bureau of Agricultural Commodity and Food standards, Office of Skill Standard and Testing Development, Department of Medical Sciences, etc.

The second type of standardising body are international and national standards organisations e.g. TISI, ISO, IEC, the ASEAN Consultative Committee for Standards and Quality, etc.

The third type is professional bodies e.g. ICA, NAT, SAA, International Federation of Film Archives, the Southeast Asia-Pacific Audio Visual Archives Association, International Federations of Library Associations and Institutions, Thai Library Association. The fourth type of standardising body is manufacturing and industry associations. This last category includes the other groupings e.g. Thailand Professional Qualification Institute.

Nature of the standards

Another way to categorise standards is by the nature of the standards. Dryden (2007, p. 133), in her article focusing on those standards derived within the archives profession which are created and developed by national or international bodies, explains that standards for records and archival practices can be created from inside and outside the profession. According to Dryden (2007, p. 134), the United States Working Group on Descriptive Standards categorises professional standards into three types: technical standards, conventions, and guidelines. Firstly, the technical standard is the most rigorous one which should produce identical outcomes if the practitioners follow it correctly. Secondly, conventions are regarded as more flexible than the technical standards. The convention may accommodate variation in practices at local level. Thirdly, guidelines are defined as a broad set of criteria for practice. Dryden (2007, p. 134) points out standards in archival practice are more likely to be conventions or guidelines than technical standards.

Implementation of standards

Standards can be further categorised by their implementation methods into two types: mandatory and voluntary standards.

Voluntary standards are normally created by the consensus method and following due process procedures (Spivak and Brenner, 2001, p. 46). It is not compulsory to adopt them, but suppliers, customers, or interested and affected parties can choose to use them. Many voluntary standards derive from non-treaty

standards developers at an international level. Moreover, some voluntary standards may undergo a transformation into mandatory regulations (Spivak and Brenner, 2001, p. 5).

Mandatory standards are usually “required under specific legislation or regulation and involve auditing, certification and demonstrated conformance, depending upon the particular standard and its use” (Pember, 2006, p. 22). Mandatory standards are the one that practitioners must comply with whereas voluntary standards can be found in the form of code of practice or guidance which they have a choice to fully or partially adopt or not adopt.

The literature review suggests that voluntary standards have a tendency to be widely accepted in the field. The case from ANSI, of a government agency relating to microfilm production, created voluntary standards which nobody, including members of the microfilm industry, is legally required to comply with (Thomas, 2003, p. 67). However, due to common practice for government bodies and other buyers to require the products or the services they purchase to conform to specified standards. Suppliers voluntarily choose to comply with the specified standards i.e. ANSI standard. Similarly, the Thai government agencies use this approach as well by making it a requirement for other parties wishing to sell their products or services to the government agencies. As a consequence the standards are adopted by the other parties automatically. However, for records and archives management there is no requirement for the public or private sector to apply any standard for their recordkeeping yet. The nearest requirement is the specification under the ISO standard series i.e. ISO 9000 which indirectly influences organisations to have proper documentation processes which will be discussed later in this chapter.

A second example is the original text of MoReq, which was not an official standard, but a generic specification used for designing and auditing electronic records systems. Cain (2003, p. 56) points out that the concept and terminology of MoReq are clear since MoReq was “sensibly, given the breadth of potential use, the specification which was divided into mandatory and desirable elements (“must” versus “should” clauses)”. Similarly to the ANSI standard, MoReq had voluntary content because it aimed to be used widely as much as possible, across Europe and globally.

The final example is the Electronic Records as Documentary Evidence standard. This Canadian standard uses an approach of a non-mandatory compliance or “government by suggestion and recommendation”. Fisher (2004, p. 42) states that being a non-mandatory standard is an effective approach which allows the standard to gain acceptance at national level without requiring legislation.

These three examples indicate that a voluntary standard can be as effectively adopted as a mandatory standard. However, the success of voluntary standards implementation does not rely on the fact that it is voluntary, but on the mechanisms behind it to make it well accepted from the records and archival community. For example, the policy and strategy of the governmental bodies or the standard-setting institutes have an impact on the level of standards implementation. NAT is a good example because it publishes standards and Handbooks which are totally voluntary, but the implementation seems to be less successful compared to these other three cases. It may be that the NAT which formalised the standards does not have an efficient mechanism to make the standards well-accepted from the public or private sector. The impacts of being either mandatory or a voluntary standard for archival practices will be discussed further in Chapter 5.

In Thailand, Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) is applied as criteria for individual performance assessment owing to its detail on the quantity of work that the practitioner should be able to perform in a given period of time. Likewise, Standard for Records and Archives Preservation of the National Archives 2012 (Fine Arts Department, 2012) clearly states that it is produced as aspirational best practice for archival institutions across the country to achieve the best conditions and methods of conservation of the national treasures collections.

In contrast, mandatory standards are evident in the market of industry and trade between nations such as the work of WTO (and GATT as its predecessor) (Spivak and Brenner, 2001, p. 47). Although mandatory standards are not common in the field of records and archives practices, nevertheless the mandatory standards for international trade were the driver that introduced Thailand to adopt international standards in the private and public sectors (which will be discussed later in this chapter).

In summary, the literature review indicates that standards can be categorised in various ways, partly because there is more than one way to create and to establish standards designed to improve the current practices in records and archives community. Moreover, this section shows that there are some standards that are not call standards, but rather something else e.g. convention, guideline, technical glossary, etc. This raises the question about the scope of this research and whether this research includes something that might not be labelled as a 'standard'. In this thesis it became clear that there are many things used by the practitioners in the NAT, which can be described as standards, under the broadest definition. However, this research only focuses on two current Thai official publications regarded as standards: Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) and Standard for Records and Archives Preservation of the National Archives 2012 (Fine Arts Department, 2012).

2.4.3 Who sets standards?

Standards are created by a standards-setting organisation. This agency has a function to develop and maintain standards. The ISO is the largest and most established of standards developers. The ISO is made up of a network of national standards-setting agencies representing different countries (Schaefer and Bunde, 2013, p. 14). In Thailand, the Thai Industrial Standards Institute (TISI) serves as an ISO member.

The records and archives standards that fall under the aegis of the ISO are, for example, ISO 23081:2006 Information and documentation-Records Management processes (Bunn, 2013, p. 238), ISO 15489 Information and Documentation-Records Management, ISO 30300:2011: Management Systems for Records. For the archival profession, the largest standards-setting organisation is the International Council on Archives (ICA) (Schaefer and Bunde, 2013, p. 14). Standards that fall under the aegis of the ICA are, for instance, ISAD(G), ISAAR(CPF), ISDF, and ISDIAH (Bunn, 2013, p. 238).

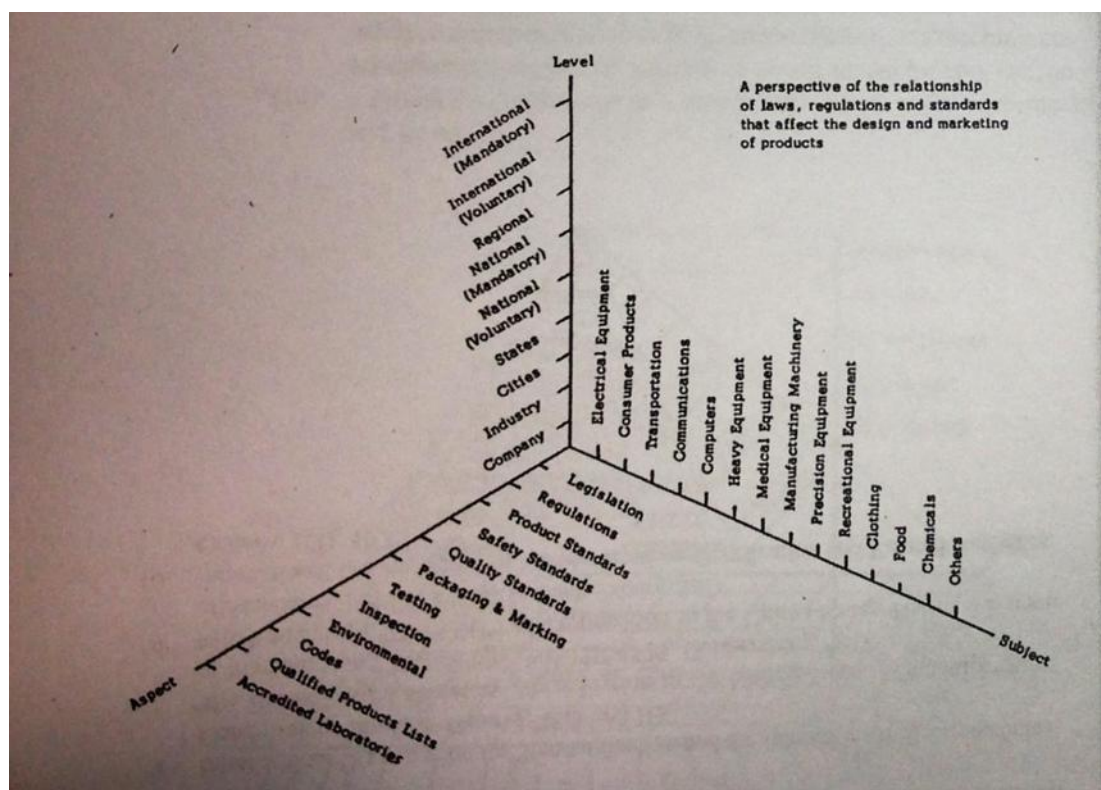
2.5 Developing standards

Due to the emergence of standards since historical times, Kelemen (2003, p. 21) defines standardisation as "the uniformity of units of weight and measures has been recorded as early as the Babylonian civilisation (c. 1800 BC)". In the

millennium era, standardisation means “the process of formulating and applying rules for an orderly approach to a specific activity for the benefit and with the cooperation of all concern and in particular for the promotion of optimum overall economy taking due account of functional conditions and safety requirements” (Spivak and Brenner, 2001, p. 18). In some industry sectors, standardisation is based on the “consolidated results of science, technique, and experience” (Spivak and Brenner, 2001, p. 18).

Standardisation is a discipline which involves many factors. Dr Lal Verman identified the so-called “standardisation space” (Spivak and Brenner, 2001, p. 26). The scheme illustrates standardisation in three dimensions or three axes and it presents the relations between the several attributes of standards (see Figure 2-3).

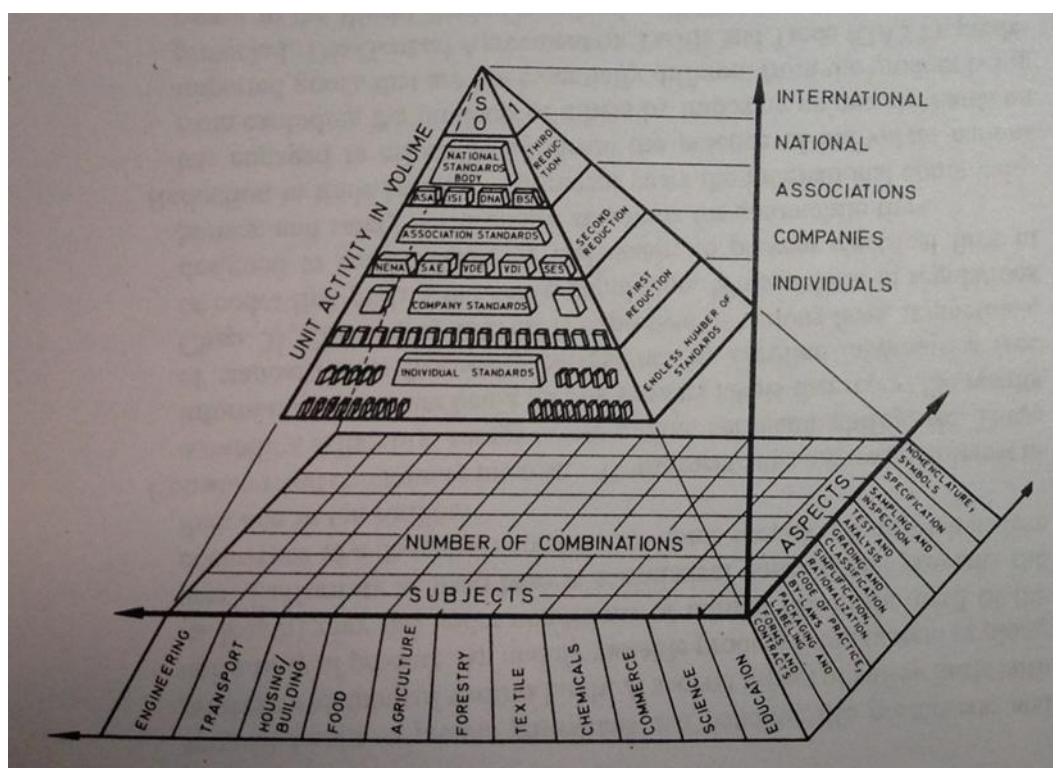
Figure 2-3 Diagrammatic representation of standardisation space (Spivak and Brenner, 2001, p. 26)



The x axis presents the subject of standardisation work. The y axis presents the aspect or type of standardisation work, describing the nature of the standards. The z axis shows the levels of national, regional, and international standardisation (company, local, state, trade association, professional society could be added where applicable) (Spivak and Brenner, 2001, p. 5). The hierarchy is presented as a

pyramid. Later Verman's Standardisation Space was modified by Riebensahm who combined the three attributes showing the multiplicity of points in the Standardisation Space (Spivak and Brenner, 2001, p. 29). The levels specify the domain where the standard is implemented. See Figure 2-4.

Figure 2-4 Pyramidal representation of standardisation space (after Riebensahm) (Spivak and Brenner, 2001, p. 28)



Standardisation work can be characterised within this three-dimensional standardisation space (Spivak and Brenner, 2001, p. 5).

2.5.1 Aims of standardisation

The aims of standardisation, according to ISO, are shown in Table 2-1.

Table 2-1 Aims of standardisation (Spivak and Brenner, 2001, pp. 29–30)

Simplification	Standardisation is the means by which society gathers and disseminates information, and disciplines its flow for society's benefit and safety.
Interchangeability	Simplification tends to limit varieties and increase interchangeability
Standards as a mean for communication	As essential function of standardisation is to facilitate communication between producer and customer by specifying what is available and giving confidence that the ordered goods will comply with his requirements as stated.

Symbols and codes	By international standardisation of symbols and codes, differences in languages are ameliorated or eliminated.
Safety	Safety has two aspects. There are products that have only one function, namely to confer a safe condition on the user. For example, safety belt and air nags for motorists.
Consumer and community interest:	Consumers have a growing interest in durability, reliability, energy consumption, etc. Community interest is expressed in various laws, regulations, or codes that protect the entire population. We see these in regulations designed to ensure clean air and water; to prevent electrical fires in homes; and safety performance standards for automobile tires.
Reduction in trade barriers:	The international community has engaged in efforts to eliminate the practice of individual nations from excluding the products of others by imposing unique standards on imported goods that are not essentially different from the product being protected. The GATT, predecessor to the WTO has dealt with this area of contention and, in large part, eliminated it by making it common practice to accept different standards that produce essentially the same result.

2.5.2 The principles of standardisation

Spivak and Brenner (2001, pp. 30–31) set out some broad principles of standardisation.

Principle 1: standardisation is a conscious act of simplification by the society. It prevents the generation of unnecessary variations of products where those variations do not provide any new or unique service.

Principle 2: standardisation is a social, political, and economic activity. It should be promoted by a consensus of all concerned.

Principle 3: a standard is not useful unless it can and will be used. Using standards may require some sacrifices by the few for the benefit of the many.

Principle 4: standards are compromises between various alternatives, involving a decision and to use an agreed upon option for a period.

Principle 5: standards should be reviewed at regular intervals. It should be revised or eliminated as desirable.

Principle 6: when product characteristics are specified, the standard test methods must be designated. When sampling is required, the size and frequency of the samples must be specified.

Principle 7: the necessity for legal enforcement of national standards should be considered, having regard for the nature of the standard, the level of industrial development, and the laws and conditions prevailing in the society for which the standard has been prepared.

It can be seen that these ISO standardisation principles have an industrial focus. They are quite inspirational because some principles are not easy to do in real world and they need much effort to make the principles come true. For instance, principle 3 where it may require the few to sacrifice for the benefit of the many is a voluntary act that may not happen easily.

2.5.3 Standardisation approaches

To answer what the international standard is, Spivak and Brenner (2001, p. 96) say it is “a specification that is accepted and endorsed on a world-wide basis”, established by “defined international standards organisations as those which have nations as members” (Spivak and Brenner, 2001, p. 97). Hence, international standards are those that derived from international standard-setting organisations such as ISO, ICA, IFLA, etc. They should not be just international standards but they should be internationally accepted standards so the practitioners can follow them when conduct professional duties (Njovana, 1993, p. 98). Recently, international standards rapidly became a staple of records management programmes and practices worldwide because they make extensive knowledge and expertise available for the benefit of archives community (Macintosh and Real, 2007, p. 50).

2.5.4 National standardisation system

There are four types of national standardisation systems of ISO member countries. The types range from “extremely centralised approach to a system characterised by the coexistence of either several or many different standardisation bodies and the absence of a central focal point for coordination” (Spivak and Brenner, 2001, p. 67).

The first type is vertical or monolithic model. Some countries have a monolithic government authority and a centralised official standards system where standards bodies are an integral part of the government. In this model, the national standards bodies determine all standards policy (Spivak and Brenner, 2001, p. 68). The example of countries that have vertically oriented standards systems are most of eastern European countries, China, and many developing countries. The communication about policy and application of national standards goes down to regional-municipal bureaus of standardisation. There are clear and unequivocal chain of command, control, and standards development.

Thailand has vertical model of national standardisation system. In 1969, by virtue of the Industrial Product Standards Act B.E. 2511 (1968), the Thai Industrial Standards Institute (TISI) was established under the Ministry of Industry. The main responsibility of TISI is to conduct national standardisation activities including promoting the development of Thai products to the acceptable quality, increasing the competitiveness of Thai industry in the world market, and protecting consumers by ensuring safety in lives and property and preserving the environment (International Organisation for Standardisation, n.d.). The scope of TISI's responsibilities also covers national standards and community product standards development and product certification, cooperation with international and regional standardisation bodies, and serving as standards information centre (International Organisation for Standardisation, n.d.)

The second type is centralised model. This model has strongly centralised national standards bodies and structure (such as government agencies, private or quasigovernmental bodies) which are closely connected by structural, contractual, or financial arrangements to the central government. The centralised model can be found in many developed countries (Spivak and Brenner, 2001, p. 68).

The third type is decentralised model. This model represents more variety in standards development. The clear separation between government sector and voluntary sector is made.

The fourth type is horizontal model. In the horizontal model, the coordination is not as comprehensive as with other models. The standards developers and standards users have system base that is extremely large and varied. It applies to

private sector (voluntary standards) and government standards sector (Spivak and Brenner, 2001, p. 69).

In summary, Spivak and Brenner (2001, p. 67) point out that “the standardisation process reflects the specific institutional patterns in different countries” because standardisation process integrates into the national general legal and economic framework. Also the standardisation process has its preference for centralised or decentralised models.

2.5.5 Standardisation processes of ISO

ISO is non-governmental international organisation. ISO has a membership of 162 national standards bodies (International Organisation for Standardisation, n.d.). ISO identifies what international standards are required by business, government, and society. ISO develops international standards, by transparent procedures, in partnership with those who will use standards and delivers standards to be adopted worldwide (Association of Records Managers and Administrators, 2007, p. 27).

The Central Secretariat in Geneva, Switzerland, coordinates the ISO standardisation system. A suite of ISO products are standards, management standards, technical specifications, and technical reports. Each type of ISO product has different levels of formality of approval processes and length of time that it remains valid until revision (Reed, 2011, pp. 123–124). A Technical Committee (TC) is responsible to propose the work and decide on which type of product the ISO will create. To join the work of any committee, the national member institution must commit to membership of that committee (either as a ‘P’ – participating member or ‘O’ – observer member). Significantly, the status of membership defines voting privileges.

The national representation in the ISO meetings is decided by national member institutions in each country and they represent national perspectives on a particular issue. Generally, representation on the national committee consists of a range of expertise. Some members of a TC may be officially sponsored by their national government (Reed, 2011, p. 123). When a proposal is created and formally approved by each participating member nation, each member country assigns

specific individuals to participate in the work. The timetable for development and the voting path is defined by product type (Reed, 2011, p. 124).

ISO publishes 21,908 international standards and related documents and its growth rate increases continuously (International Organisation for Standardisation, n.d.). The main work is writing standards, carried out by 312 technical committees in many fields. The most powerful and far-reaching of ISO's activities is release of ISO 9000 series about how to establish systems for managing quality products and services (Stevenson and Barnes, 2002, p. 696). The key technical committee is ISO/TC 176 on quality management and quality assurance that develops ISO 9000 series (Spivak and Brenner, 2001, p. 71). There are 15 technical committees on information technology, graphics and photography.

The ISO Council works in most governance issues which meets twice a year. The Council consists of 20 member bodies, the ISO Officers and the Chairs of the Policy Development Committees, CASCO, COPOLCO and DEVCO. These bodies give guidance and management on specific issues as follows (International Organisation for Standardisation, n.d.).

Firstly, the President's Committee supervises Council and oversees the implementation of the decisions taken by the Council and the General Assembly. Secondly, the Conformity Assessment Committee gives guidance on conformity assessment. Thirdly, the Consumer Policy Committee gives guidance on consumer issues. Fourthly, the Development Committee for developing countries provides guidance on matters related to developing countries. Fifthly, Council Standing Committees supervises on financial and strategic affairs. Sixthly, Ad hoc Advisory Committees are established to advance the goals and strategic objectives of the organisation.

2.5.6 Process of ISO standardisation

There are three key stages in standardisation processes. They are production of a Committee Draft (CD), a Draft International Standard (DIS) and a Final Draft International Standard (FDIS) (Healy, 2010, p. 96). The standardisation processes starts when the working groups develop informal drafts until a Committee Draft stage which is when TC members comment on the draft (Reed, 2011, p. 124).

Afterwards, it is a process of setting up a working group since most of the work of the committee is done through working groups (Int.20).

After setting up working groups, they seek experts, i.e. people who contribute to working groups as nominated by national standards bodies (Int.20). Although not all the committees operate in the same way, the records management committee has a number of working groups e.g. a Working Group focusing on ISO 15489 and there are various other working groups focusing on the other standards like ISO 30300 (Int.20). The Group produces working drafts, which form CD goes out for consultation and is the basis for the DIS (Int.20). The drafts are created through voting, commenting, or resolving comments process (Reed, 2011, pp. 128–129). A DIS is a consensus draft for the entire ISO membership to vote on. ISO allows five months for voting and commenting after which ISO issues a FDIS for the voting process (Reed, 2011, p. 124). After standards are issued, there is an initial review after three years. The review may confirm, propose to amend, or discontinue standards. Afterwards, there is a cycle five-year reviews with the same possible outcomes. TC members are responsible for conducting reviews.

For recordkeeping standards, since 1988 standards and guidance for recordkeeping practices have been developed by the Technical Committee 46, Sub-Committee 11, Archives and Records Management (TC 46/SC 11) (Reed, 2011, pp. 124–125). The TC 46/SC 11 consists of 110 active experts from 27 countries with an additional 12 observer countries. The mission of the sub-committee is to play a leading role to improve best practices and processes in recordkeeping practices by giving a framework, standards, guidance for design and application (Healy, 2010, p. 97). By 2011, there were nine Standards and five Technical Reports in four major sequences regarding recordkeeping practices: records management, metadata for records, functional requirements for records, management systems for records (Reed, 2011, p. 123).

Data from UK participants in this research reveals issues and difficulties with the standardisation processes at both ISO and ICA. The cases and examples mentioned in this chapter are at international level the author thinks can set an example for Thailand. We can see the strengths and weaknesses of the processes and see the worst case scenario which may happen through the standardisation processes.

While reporting on standardisation processes of ISO 15489, Healy (2010, p. 98) explains that there are different national professional and juridical traditions which result in different perspectives of what should be in standards. The difference and difficulties happened throughout standardisation processes, but the working people on standards development were still able to reach consensus without losing usefulness of finished the standards.

2.5.7 Criticism of standardisation process

Research design allowed the author to gain rich data from UK participants who had been working on ISO standards such as ISO 15489, ISO 30300 series, etc. Three participants provided valuable insights about challenges and criticisms of ISO standardisation processes. The UK participants in this research include delegates for ISO Records Management Committee who elaborated the standardisation process at BSI and ISO. The author identifies nine criticisms regarding ISO standardisation processes as follows.

Firstly, there is an element of ambiguity as to what roles a member of committee fills between role of experts versus the role of national representatives in working groups and committees (Int.20). Generally, ISO committees operate on the basis of countries so the interviewee had attended committee meetings and voting as a country. Hence committees are an individual expert (although everyone knows they come from, for example, the UK or Australia, etc.) and committees are somehow speaking both as an individual and as a member of the standards body. The line between individuals on the working group and the country representatives is unclear in the process (Int.20).

Secondly, the criticism is the basis of authority of member's expertise (Int.20) as expert in a particular field in ISO standardisation process. People in an ISO working group are a self-selecting group who are interested in standards for many various reasons. The question is how it can be judged that they are qualified to be recognised experts in the UK. In her opinion, there is no definite way of judging this (Int.20).

In regards to records management, although there has been consideration that perhaps UK should look at some national standards, the BSI records management committee is a mirror committee of the ISO records management

committee (Int.20). It serves as “the conduit back to the UK world for ISO”. Each of the various national standards bodies has their own. The BSI provides a comprehensive training programme covering standardisation, processes, and personal development for all committee members (British Standards Institution, 2018). One UK participant pointed out that the BSI training is not mandatory (Int.19). In her case, the BSI sent her some guidance (which she has read), but she did not participate in training. At the BSI, the chair of the committee is a subject specialist, while the secretary of the committee works for the BSI and therefore she knew the standards rules. There is a standard on standards called BSO. This is similar to Parliament where the clerk must keep the MPs working legally and the clerk understands the legalities of it in Parliament (Int.19).

Thirdly, another criticism is costs and time spent on standardisation process (Int.20). One UK participant suggested that the success depends on the capacity and willingness of the attendees. For example, if there was a five-day Washington meeting, although BSI contributes to costs, it does not pay full costs for those who are in the private sector. For public sector, the body that attendees work for is expected to cover their costs. The frequency of the meetings used to be six-monthly, but nowadays it is annually. However, this is still regarded a significant cost and amount of time (Int.20). Consequently, people who are interested but do not have time nor institutional support, cannot fully contribute to the ISO standardisation process. This makes for “a weaker standard” because people want to be able to say that “this is the international consensus on what is the best practice in Records Management” (Int.20). Hence people who attend meetings are those who can spare time and can either get funding or fund themselves. This is an important point which manifests that in reality, it is a narrower pool of people who attend the international meetings. More critically, there is only small group of people who can actually attend the meetings. This means those people who take an interest can drive their agenda (Int.20). It is undeniable that costs and time is crucial point that cannot be ignored since it impacts on standards as product of standardisation process.

Fourthly, there is a political side of the ISO standardisation process that involves intellectual property issues. The standardisation process of the ISO allocates ownership to its own committee. It takes all copyright and intellectual property rights in ISO products (Reed, 2011, pp. 128–129) since the ISO wants to sell the end result (products). ISO requires restrictions and copyright is a key to all

these actions (Int.20). She mentioned the time when she and her colleague attended a meeting of the Records Management Committee. They found to their “shock and horror” that one of the Australian representatives had put drafts on the Australian listserv to get feedback (Int.20). Although the ISO rules are very restrictive about public circulation and this should not have happened, the Australian representative argued that how else she would know that she was speaking for her profession (Int.20). This story demonstrates that there is tension between copyright issues, ISO restrictions and standardisation processes. This tension has an impact on standardisation process. The UK participant chose other methods to get feedback for the ISO drafts (Int.20), in her personal capacity by putting a series of articles into, for example, the ARA newsletter, the RMS Bulletin and on the website. Restrictions of the ISO’s rule and intellectual property issue are another example of one specific difficulty in standardisation process. This is a challenge to perception and evaluation of the standard or the best practices (Int.20).

Fifthly, there is neither a clear target audience nor a concrete demand for standards. In terms of intended audience of ISO standards related to records and archives management, ISO 15489 provides a comprehensive example of ambiguity. Healy (2010, p. 102) points out significance of ISO 15489 that it is a statement of good practice in records management and records managers (however qualified and experienced they are) should find it useful. Hence the ISO 15489 “deserves respect for its contents as well as its existence” (Healy, 2010, p. 102). In contrast, the UK participant questioned whether ISO 15489 was there for records managers. The more interesting question she raised is why records managers need to go to ISO 15489 when they had many other sources of advice (Int.20).

Healy (2010, p. 99) states that ISO 15489 is expected to be intelligible to non-specialists as well (apart from being useful for records professionals). When working on developing new records systems projects together, ISO 15489 can be passed to professionals in other fields e.g. ICT professionals (Healy, 2010, p. 102), while the Technical Report is aimed to be used by records practitioners (Healy, 2010, p. 99). However, she points out that it remains to be assessed whether the standard is successful or not. On the contrary, one UK participant indicated that “what is the audience that standards setters see?” had been one of the huge debates and challenges (Int.20). Similar to Healy, the UK participant suggested ISO 15489 should be for other people (rather than records managers) to understand records

management e.g. information security professionals, technology professionals, data privacy officers, etc. However, she criticised that ISO 15489 did not seem to be written for these audience because when showing ISO 15489 to IT professionals and saying this was what Records Management is, they may not understand (Int.20).

Standardisation processes should ensure that there is an actual demand for standards. One UK participant discussed that the audience ISO 15489 aims to address can be different to the audience that records professionals want it to address (Int.20). Hence as a delegate for BSI, she suggested that one step that standards setters should do with putting a new work item proposal, as a side-line, is to manifest whether there is a demand for standards. During standardisation process, showing a demand for the standard is what supports the standard as a new work item. However, from her experience of talking to Records Management consultants, although she had never done a systematic poll, she had never heard people say there was a demand to implement ISO 30300 (Int.20).

Sixthly, the ISO standardisation process limits engagement of the professional community. The ISO standardisation process does restrict the routes that the working group can go down to get opinions and comments about the drafts. This causes difficulty and it is one of the big challenges of how standardisers know that standardisers were speaking for a particular community (Int.20). It is crucial to include professional community because standardisers' contributions are essential for standards development and standards implementation in the future. One UK participant provided example of reviewing ISO 15489. Although it was a difficult, when she chaired a sub-committee she made sure that there were representatives from ARA, the chairman of the records management group of ARA, a representative from the Information and Records Management Society, from the National Archives and Scottish National Archives (Int.20). Hence she could say that she spoke for the recordkeeping community.

Additionally, the UK participant gave another example about engaging professionals in creating PD5454 which was regarded as a big strength of this standard (Int.20). She analysed that although PD5454 was written by records managers and archivists, the key people were architects, structural engineers, conservators, shelving manufacturers, etc. as everyone need to work together to

build an archive repository that met the building regulations and met the archives needs (Int.20). Meanwhile ISO 15489 was viewed as recordkeeping professionals talking among themselves (Int.20) thus the UK participant suggested there should be lawyers, information security people, IT people and other people whom records professionals needed to work with in the room in standardisation process.

Moreover, one UK participant suggested the author to talk to Thai standards organisation (TISI) about producing recordkeeping standards for Thai archives, to make use of their expertise and see what suggestions they have of distinguishing between what TISI produces and what NAT produces (Int.19). In UK, BSI would have had considerable reservations about trying to make anything created at the National Archives become a British standard. The UK participant elaborated further that the standardisation processes were extremely laborious because of the working group's different timetables and approaches (Int.19).

Seventhly, another serious criticism about ISO standardisation process is things which "perhaps do not have a broad consensus are approved and pushed through" (Int.20). The significant question is what consensus means and how standardisers arrive at it is one of the challenges. At the ISO, the whole standards writing process depends on working groups being approved by members of the Records Management committee. Once a text has been approved by the whole Records Management committee, it must be voted on by all the bodies of ISO to become an official ISO standard (Int.20). Significantly, there are various rules about percentages at the ISO. There is difference between people attending the meetings and those who did not.

One UK participant estimated that half of the countries who were members of the ISO Records Management committee did not attend meetings although they received the papers and they contributed by writing comments. Individual national member bodies were not be satisfied with the document (Int.20). For example, there was a records management community who disagreed and did not think some of the changes to the revision of ISO 15489 were necessary and valuable. Moreover, one country can have greater influence over other countries thus when it came to publicising the standard, some people chose not to publicise it. This is crucial to be aware that standards, as products of standardisation process, are not completely

derived from consensus unanimously. The standards that are not derived from consensus may not be publicised widely and this may lead to low rate of adoption.

Eighthly, a process of compromise is inevitable on an international level of standardisation process (Int.19). The first question is why standardisers need to compromise at standardisation process because standardisers want to make everybody willing to accept standards so standards can implemented at broadest level. In reality, it may not be possible to make everyone satisfied with the finished product thus standardisers need to compromise. Compromising is about working out what archivists cannot do without and what archivists can do without (Int.19). For example, Healy (2010, p. 98) mentions the problems during drafting ISO 15489 that some countries were not satisfied with a time-limited concept of records management in ISO 15489 because their countries do not distinguish between records and archives thus they struggle with the idea that ISO 15489 should focus only on the management of current records in their originating organisation rather than those selected for permanent preservation and archived (Healy, 2010, p. 98). Admittedly, it is difficult to make the standards to everybody's satisfaction, but at least the standards setters should try their best to compromise and reach to the point where majority of people can accept standards (Int.19). The UK participant provided examples of differences in some countries which required compromise and negotiation during standardisation process as follows.

First example is the term "appraisal". From ISO 15489, the term "appraisal" was never used (Int.19). One reason was that in Germany appraisal can only be done by people with certain qualifications and is associated with historical assessment by doctoral level staff. Therefore, the working group must moderate ISO 15489 and come up with a way of describing concepts without using words which were triggers for problems (Int.19). A second example is the definition of a "record", where the American definition required a legal process of formalising something to be a record (Int.19). Another example is the way the original Australian standard must be moderated to be acceptable on an international level because it could not be finalised as an international standard without all the member states of the ISO actually agreeing to it. The example of the definition of a record within the ISO BS 15489 shows that the Australians and the Americans colleagues agreed to compromise despite their reservations because the ongoing work was not just a

national standard, but it was also an international standard that involved people from diverse countries (Int.19).

Finally, a criticism about standardisation processes is the limitation of working at international level. The first unavoidable limitation is diversity in communication language. One UK participant recalled that all the meetings she attended were in English, it meant that people who were from France, Sweden, the Netherlands, Spain, etc. were all speaking in their second or perhaps their third language and that might cause problems (Int.20). One language becoming a dominant language in global communication is also discussed in Chapter 3 as a consequence of globalisation. The data from the section is apparently coherent with the data from this UK participant that people who are not able to use English fluently in communication between trans-national activities may struggle to conduct their task. In the case of standardisation, it is another example that shows the language barrier still exists at international standardisation process.

The other limitation is the culture of working of individuals who are involved in standardisation process without collaboration or cultural awareness at global level. A UK participant shared her experience of working in the ISO committee where she found that most of the people who attended meetings worked within one country. The attendees either worked for national archives in their countries or they were consultants working within one country. Hence the attendees did not have awareness of working in a global organisation. Although there are some people who were already familiar with the culture of working in an international organisation (such as colleagues from France who worked for a global company), so they could envision how standards would work in different scenarios, however, it is not as common as it should be at the ISO (Int.20).

2.6 Adopting standards

2.6.1 Suggestions for standardisation process

After studying the standardisation process from the case of international standards and collecting data from UK records and archives management professionals involving in standardisation, the author concluded that there are eight suggestions for good standardisation which may be useful in the future for Thai archivists wishing to create standards for their practice as follows.

Firstly, standards should connect to existing archival practice. They should not be “totally revolutionary” (Bearman, 1993b, p. 166). To convince practitioners to follow standards, new standards should be a codification of existing practice because the simplest way to make practitioners’ behaviours conform to a standard easily is to declare current practices as standards. “If current practice embodies a range of approaches, a standard can be defined to encompass them all”. There are various examples of archival description standards that manifest this idea. These examples support Bearman (1993b)’s suggestion that description standards should link past descriptions with future descriptions. Apart from connecting to existing current practices, new standards should somehow be based on, connect to or coherent with existing standards. Sometimes new standards can even mirror the widely accepted established international standards.

For instance, Keyword AAA (Accuracy, Accessibility, and Accountability): A Thesaurus of General Terms published to replace General Administrative Thesaurus 1979 was widely used throughout government in all levels in Australia (Bearman, 1996a, p. 189). Keyword AAA conforms to ISO 2788:1986 Documentation -- Guidelines for the Establishment and Development of Monolingual Thesauri (which revised became ISO 25964-1:2011 Information and Documentation -- Thesauri and Interoperability with Other Vocabularies -- Part 1: Thesauri for Information Retrieval). Keyword AAA also conforms to Australian national standards on records management Part 4 (Control) 1996.

Another example is a guidance on archival description “Describing Archives: A Content Standard” (DACS) 2013, second edition, developed by the Society of American Archives standards committee and the general archival community. DACS is based on standards created by ICA (Hoffman, 2015, p. 88). All of data elements of DACS are incorporated to ISAD(G) and ISAAR(CPF) – “in some cases, virtually word for word” (Society of American Archivists, 2013, p. vii). Descriptions generated according to DACS can be shared electronically using encoding standards e.g. MARC21, EAD, EAC. DACS Part I was initially created to “mirror the components of ISAD(G)” and Part II to mirror ISAAR(CPF) (Society of American Archivists, 2013, p. ix).

Another benefit of creating new standards that connect to existing standards is to avoid overlapping standards which are wasteful in time and resource. Even

ISAD(G) that was initially created in 1993-1994, also addressed and referred to existing standards relevant to its subject. For instance, ISO 5963:1985, ISO 2788, ISO 690:1987 (Ad Hoc Commission on Descriptive Standards of International Council on Archives, 1994, p. 3).

These examples manifest the fact that “no-one develops standards completely from scratch” (Dryden, 2005a, p. 2). Standards are normally based on existing practice or other standards. Developing descriptive standards is a derivative process. However, some may wonder how archival profession can have innovative standards if archivists create standards based on existing ones. Moreover, if the purpose of creating new standard is to make a change, how can archivists make a change when a new standard conforms to the current practice that archivists want to change.

The answer is that it is not required to strictly adhere to existing practice or previous standards. Archivists may invent new standards for new areas. However, it should bear in mind that if new standards require adoption of new practices, it is crucial to understand how behaviour of practitioners (standard-users) is affected. Bearman (1993b, p. 166) suggests that there must be good arguments for change, “perhaps even measurable benefits”, so standardisers can convince practitioners to adopt new standards and make a change. That is why this research also explores and investigates the opinions of archivists in the NAT because their current behaviour and practices will be impacted in some ways if new standards are implemented in the future.

Secondly, each standard has its own aims thus practitioners should be aware that each standard serves different purpose. It is important to take into consideration that “the knowledge and skills required of record keepers in an electronic age were different from those of the paper era” (Bearman, 1996a, p. 192). An example is used and presentation of archival description show different issues in digital environment. In the paper-based world, representation of multi-level description works as the entire description is presented and using typography or layout can represent levels easily. However, it may somehow be problematic in digital environments where users may enter archival description at lower level (Dryden, 2005a, p. 5). Bearman (1996a, p. 192) points out that it is important to

decide whether “traditional archivists” need to be trained for knowledge and skills for electronic age and employers need to hire appropriately.

The question arises over current standards and practices in Thai archives, represented by the NAT practitioners, where the major practices are clearly based on paper world. How can the NAT prepare itself to adopt standards (either national or international) that are applicable and valid in digital world? At present, the existing NAT standards are created for paper-based environment. How valid and useful are the current standards in the NAT in the digital world? Hence one justification of this research is to study whether the current standards used in the NAT are still efficient, effective, and sufficient for the archival practice in the present.

Thirdly, the terms and definitions of words used in standards should be clearly specified and explained from creating and developing standards, so that the standardisers or standards committees can understand the same language, to implementation processes where standard-users can understand and apply it easily. Dryden (2005a, p. 5) emphasises the necessity of having clear terms and definitions by saying that terminology alone is a significant problem. “Any set of rules for archival description must include a glossary which clearly defines key terms”. Also, the scope of standards needs to be clearly specified.

The case of Canadian Electronic Records as Documentary Evidence standard, Fisher (2004, p. 42) suggests that “all standards, regardless of their purpose, start from the point of definitions in order to minimise the range of interpretation of terms”. It was difficult to reach consensus on definitions for key terms such as “records,” “data,” and “document”. Likewise, the case study from DIRKS, Macintosh and Real (2007, p. 56) recommend that a step is needed “to identify functions and activities with terms familiar to the organisation’s staff in order to be effective”. Without foundational thesaurus and uniformity of keywords there may be a problem, so one suggestion is starting the process with an existing thesaurus e.g. the Keyword AAA; Thesaurus of General Terms.

Furthermore, the content of standards should draw clear distinctions between what is obligatory and what is voluntary in the rules. For example, in MoReq2000, the specification used the word “must” and “should” to divide content into mandatory and voluntary elements. This provides flexibility for potential use of MoReq (Cain,

2003, p. 56). Also, the structure of standards content should be organised. For instance, Cain (2003, p. 56) suggests that future edition of MoReq2000 could be improved to be more useful to standards users. MoReq2000 should separate technical requirements, service requirements, and user requirements.

Fourthly, standards should be based on or underpinned by academic and scientific principles. The nature of a standard itself represents an important shift in thinking in the professionals in terms of its justification, scope, and approaches. For instance, standards justify recordkeeping with reference to risk reduction and accountability, transparency, good governance. Standards can be used by the professions who view records in terms of a life cycle as well as in terms of a continuum (Dryden, 2004, pp. 94–95). For example, the concept of series system is now acknowledged at global level in the archival community because international standards applied series system concept. The series system framework is compatible with the requirements of ISAD(G), ISAAR(CPF), EAD, and EAC when these standards are used in combination (Australian Society of Archivists, Committee on Descriptive Standards, 2008, p. 64).

However, some may question what or which type of principles or theories standardisers should rely on when creating standards for professional practice; national, international, or local principles. The simple suggestion is at least standards should be based on relevant evidence or research. Standardisers need to look for research which “was commissioned specifically for the purpose of standard creation or evidence created by research simply inspiring a standardised response” (Henderson and Dai, 2013, p. 14). Standards creation which is not evidence based or principle based may lead to unsuccessful implementation or poor practices after adoption. If standardisers consider applying principles or theories when developing standards, standardisers should consider international accepted principles at some points (along with their local or national principles if they wish to) because archival practices are universal activities that are conducted all over the world, not only in a single nation.

Additionally, it is important to see standards and archival practices from practical perspectives as well as from conceptual perspectives. For a standard to work, it has to be grounded in the real world of the people who will be applying it. “Abstract concepts are all very well, but they may not actually work in real world”

(Int.19). If standardisers focus too much on pragmatic aspects, standards (as a product of standardisation) will be manuals or handbooks that are too inflexible because they only serve specific purposes at particular periods of time rather than being a guide that helps practitioners work and decide on what they should do in different circumstance by following the rules (specified in standards). A suggestion is, for example, to see archival practices through data-centric view. By taking data-centric view, the professions can see their practices and performance more broadly. It leads to opportunity that practitioners will use available resources strategically when they face challenges (Meehan, 2014, p. 87).

Fifthly, standards should come from consensus. “These basic international standards should be based on consensus achieved in a series of meeting at the national level (Gonzalez, 1993, p. 75)”. The ultimate goal of the meetings should be a complete of a minimum set of standards at international level that taking into account the deliberations of archivists in all countries. “Consensus standards must represent a general agreement among interested parties which requires participants to meet, discuss, develop, and review standards documents (Weber, 1993, p. 114)”. However, in reality it is very challenging to develop international standards by consensus (Oliver, 2014, p. 22). This is why we need strategies to achieve the consensus needed during standards development stage (Bearman, 1993b, p. 161). Since standards need monitoring and revising, standardisation is a time-consuming and demanding task.

Moreover, consensus standards development can be achieved at a high cost. It is quite problematic for “the often resource-poor archival profession” (Weber, 1993, p. 114). There are travel costs, printing and distribution costs, and time needed. Hence, Weber points out in reality consensus standards require to be developed and maintained by “groups that have adequate resources” (Weber, 1993, p. 114). Financial resources are important for the process of standardisation and standards implementation. The example from CUSTARD shows that most of work was done through emails because the project budget for standard development provided few meetings over the project (Dryden, 2005a, p. 4). Unfortunately working through email is not “as satisfactory as working face to face”, although it is faster for circulating papers of drafts and comments, because the discussion on emails could not resolve issues completely online. Dryden (2005a, p. 4) suggests that frequent face-to-face meetings to discuss and solve problems will make stronger standards.

The next example is ISO standardisation. Due to cost constraints, many people cannot participate directly in international assemblies. People who are less likely to attend are academics, small and medium enterprises, and non-profit organisations (e.g. consumer advocacy) although they are affected and have interests (Spivak and Brenner, 2001, p. 98). They are those who have fewer budgets to attend the meetings frequently. Therefore, sometimes it is difficult to say that international standards are really products that represent all the voices of stakeholders. Similarly, Weber (1993, p. 114) says that ideally “consensus standards must represent a general agreement among interested parties which requires participants to meet, discuss, develop, and review standards documents”, however; “the fact remains that consensus standards need to be developed and maintained by groups that have adequate resources”.

Another example is from Canada. The working group of knowledgeable archivists developing descriptive standards in this case, shows that although the financial contribution to work on the project was very limited and this approach was slow, standardisation should be done by a group of people because “any standards developed by groups broadly representative of all parts of the community would have more credibility than standards developed by individuals” (Dryden, 1993, p. 4). Another example from Reed (2011, p. 126) reveals similarly that due to global financial crisis in 2012 the meetings were reduced from twice a year to once a year. As a result, the reduction in face-to-face meetings decreased speed of standards development although the working group used electronic working methods.

Financial resources also have an effect on standards implementation. The most popular examples are criticism about ISO 9000 certification because it is a costly process in terms of money and man-hours (Stevenson and Barnes, 2002, p. 697) despite the availability of guidelines and other materials to help certification process. This cost concerns “the total cost of the process, the costs in employee time and training, and the costs of consultants and registration fees” (Stevenson and Barnes, 2002, p. 698). In terms of archival standards implementation, an example of UK archives reveals that “the main reason why standards were not adopted more quickly and more widely seems to have been the question of resources. Finding money for applying standards or introducing projects of retrospective conversion seemed to many archivists a lower priority than essential preservation work (Shepherd and Pringle, 2002, p. 19)”.

To achieve consensus standards, another factor of concern is human resources because they are the most important resource to develop and maintain standards (Dryden, 2005a, p. 3). The four desirable characteristics of people appropriate for developing archival standards are as follows. The first characteristic is people who are knowledgeable about principles and practices of archives. The second characteristic is people who are committed to values of standards. The third characteristic is people who have participated in various standards development at institutional, national, or international levels. The fourth characteristic is people who are not only experts, but should be seen as experts by the wider archival community. It is because standards at some points require people to change the way they perform their archival tasks. If people ask “what gives them the right to change our customary practices” (Dryden, 2005a, p. 4), standards created by a group of experts can convince people that the change is useful for their practices.

Apart from these characteristics, there are conditions that people who work as standardisers should follow. The first condition is the team of standardisers should be chosen carefully “to represent a variety of interests” (Dryden, 2005a, p. 4). Normally, individuals came with “baggage and biases” derived from their personal experiences, their training and knowledge, and their institutional practice. It is important that people should set this aside so they can create the best standards possible by being open to new ideas and alternatives. Also, the team must be ready to promote the products of standardisation process when the work is finished (Dryden, 2005a, p. 4). The second condition is that individuals who work for the team should be willing to devote their time to review drafts and provide feedback and comments.

Additionally, standardisers should take archives users and standard users into consideration. Weber (1993, p. 115) says standardisers must remember two things if wanting to succeed in developing useful description standards. Firstly, archival description standards implementation is a strategy to improve access and it is not a goal in itself. Secondly by developing standards we are creating retrieval systems for professions and users thus it is necessary to study users (Weber, 1993, p. 115). The research and literature about standards (either for industry or for archives management) indicate that “standards greatly influence user expectations” (Schaefer and Bunde, 2013, p. 13). This is why there was much research conducted in Thailand about users’ expectations towards organisations adopting ISO

standards. Also, it is essential to study the way practitioners use standards e.g. how archivists actually use rules for description (Dryden, 2005a, p. 5).

Likewise, the UK participant shared her experience when developing the Code of Practice on Records Management. She hoped that the second version of the Code of Practice on Records Management would be “less central government-based” than the first version (Int.19). She and her working group tirelessly put in effort to ensure that the language and the practices described in the Code would be something that people in all parts of the public sector could accept, adopt, and apply rather than just being disregarded.

She pointed out that it was crucial to think about who is going to apply the codes or standards and how we can get standards accepted by these groups of people. It was not that “we can just expect standards to be a mandate to go out because people will find ways of subverting things they do not agree with” (Int.19). If standardisers involve people in standards development and people see the point of it, people will contribute and have a sense of ownership about it. Consequently, she involved representatives of the wider public sector such as somebody from the university sector, from local government, from the NHS etc. People who represent each sector can look at standards and say “yes, we can work with that” (Int.19).

The experience of the partnership between the BSI and the records management community shows that involving the community in developing standards is important. The members of the BSI committee all come from different backgrounds e.g. from central government, local government, the police, the NHS, the Records Management Society, etc. They represent their particular communities, their communities’ interests and after each meeting, consulted their communities about the various drafts. Standards should be something people are aware of in the development stages and contribute to. “The finalised standard should never come as a surprise to the people who are supposed to be bound by it” (Int.19).

Sixthly, in some cases, localisation is required for standards. Localising may happen during the standards setting process, for example, when national or professional standardiser bodies formulate standards about particular areas, standardisers may consider adapting existing standards to make them fit local conditions, in the way that DACS and CUSTARD adapted ICA standards to fit North

American practices. Localising may occur when practitioners apply standards in organisations, to adapt to the factors in each place (organisations, communities, nations, regions). Standards for trade and industry, the literature reveals that “in many cases, direct adoption of foreign national standards in the developing countries can cause some operational, quality, or economic problems due to differing local conditions in respect to usage, methods of manufacture, harsher environment, etc. (Spivak and Brenner, 2001, p. 240)”.

Furthermore, Spivak and Brenner (2001, p. 240) suggest that “the national standards body of the developing country has to review the foreign standards and adapt them with suitable additions or amendments”. Many cases indicate that differences in the factors of each place impact on standards implementation. One case is MoReq2000 which was originally created for European use. MoReq2000 was relatively unknown outside Europe (Cain, 2003, p. 59). Although MoReq2000, as internationally accepted specification, may claim to facilitate a global market for electronic records management systems, it will face some challenges in the ICT industry because the systems in many countries outside Europe vary and the suppliers for electronic records management solutions may have to adapt international standards (like MoReq) to fit different local context (Cain, 2003, p. 59).

“Standards are not universal, but localised products of particular societies (Yeo, 2010, p. 99)”. Some archivists argue that archival descriptions only “impose our own cultural perceptions onto phenomena that can never be described objectively”. This is why compromise is needed in the archival community. If standards, in themselves, are localised products of somewhere, standards users should not take it for granted that standards provide a perfect model that can be applied neatly everywhere in every different context. Logically, the standards which the practitioners choose to adopt should be suitable for the culture of the organisation, for example, the US Environmental Protection Agency (EPA) decides to acquire electronic records management because it fits with current EPA culture (Fernandez and Sprehe, 2003, p. 62).

In terms of localising international standards to fit with particular contexts, the UK participant shared her opinion that although national groups of archivists working at a national scale should be interested in developing their own standards, those clearly should not be in defiance of the international ones (Int.18). She thought,

however, it was not quite right just to expect or adopt an international standard and use it as national standard. “Every nation has very strong cultural traditions and ambience. Although ISAD and so on should fit, but if they do not fit, the Thai archivists then have to deal with the consequences and provide explanations (to their superior) and make alterations. To avoid complications, Thai archivists should have their own standard, expand it or make it more precise” (Int.18). If it is an international standard, they cannot just change it. The adaptation should be discussed and adopted by everybody (Int.18).

Likewise, another UK participant provided example referring to legislation, from her experience with Japanese visitors when she was working at TNA. The visitors were working on their own archives act. She advised them not to just “copy an act that they have seen from another country. Their act must reflect their own cultures and their own practices. They should understand how their own culture works, what will work for their own organisation” (Int.19). Practitioners can look at others and see what they are trying to do, but practitioners cannot just automatically look up to them because standards must be something that works in practitioners’ own environment (Int.19).

Additionally, sometimes standards must be translated into different languages. The literature shows that ISO 15489 has been translated for non-English speaking countries (Joseph et al., 2012, p. 59). The information management training groups and consultancies worldwide focusing on disseminating ISO 15489 make this Standard well-known in the records and archives community. The UK participant provided an example of this issue when the international standards like ISO standards were developed and translated into various languages worldwide outside “the Anglo-Saxon world” (Int.20). To her knowledge, for example, in German there were six different terms for records (Int.20). On the contrary, there was not any word for records in Spanish as Spanish used “document”, but a document was not the same as record (Int.20). In French, for ten years people did not translate “records management” in ISO 15489, but French used “records management” even though every international standard must be translated into French. Until 2012-2013 French with the French Canadians, the Luxembourgers, and the Belgians came up with a word, which literally translated “activity document” or “document d’activité” to describe it (Int.20).

This issue of translation can lead to confusion when everyone comes up with different words to refer to the same thing (Int.20). She also pointed out that there were two levels of international standards. The first level was, for example, the ISO 15489 used within the UK, US, or Thailand as a document by records management professionals or information professionals in that community. The second level was at an international organisation. For example, if she said something was a policy, could she be sure that it would be applied in the same way in France, Germany, etc. (Int.20).

Seventhly, it is essential to improve the standardisation system. Spivak and Brenner (2001, pp. 99–100) suggest that national standards organisations need to establish policies which call for volunteers in the archival community to participate in the international technical process so that more participants can join the standardisation community freely. There should be a mechanism for revising it in the light of experience (Int.18). There should be a body or a group of people responsible for standards maintenance or standards application. Standards are not static and require periodically review and revision. This is to identify “the course of actual use” and understanding of archival practices for particular areas (e.g. preservation repositories). Therefore, Dryden (2005a, p. 4) suggests there should be a stable body in charge of standards maintenance which will “administer a regular and appropriate process for seeking input, debating and deciding upon requests for changes, and issuing a revised standard”.

Standards need to be revised. There is a necessity to assist in the establishment of mechanisms to revise current standards. Normally standards are created at a particular time and circumstances thus when time passes and the circumstances change, standards may not be applicable and valid anymore. Standards may not serve their purpose and function properly as they used to. Therefore processes and a group of people are required to revise or even withdraw standards (if necessary). For example, ISO established a working group to revise ISO 15489 Part I in 2012 before the new edition was published in 2016. The need for a revision is that some guidance from a paper world perspective is no longer useful even though ISO 15489 was written as technology neutral standard (Franks, 2015b, p. 351).

Eighthly, standards implementation is a complex subject within standards development. Having standards cannot guarantee success merely by their existence, but standards are a political product that must have a market and customers in order to survive. Customers are standard's users meanwhile the market is the environment that encourages, drives, or even forces people to use standards. "Nothing has galvanised the public and private sectors into "standards awareness" more than the emergence of management standards (Spivak and Brenner, 2001, p. 93)". One way to build that favourable environment is to create motivation or incentives for people to adopt standards. For business and industry sectors, an economic incentive is the strongest motive to follow standards (Weber, 1993, p. 114).

Some standards are mandatory and enforced by laws or regulations. In contrast, enforcement for archival standards such as archival standards is "less obvious" although it exists. Eventually, many archival standards are enforced by peer scrutiny (Weber, 1993, p. 114). Sometimes people prefer using de facto standards than de jure standards. There is the case that "standardisation products of the organisations working outside the formal system are being widely adopted, often in preference to the products of the formal bodies" (Spivak and Brenner, 2001, p. 97) because people think that "new groups" can build standards more quickly. There are number of factors involved such as absence of a requirement to engage all stakeholders or interested parties, elimination of demand to create a single national position, etc.

Furthermore, successful standards implementation needs strategies as tools. For archival standards, such as archival description standards, their adoption and implementation are not a goal, but are a strategy in themselves. "Well-conceived strategies" influence successful adoption of standards (Bearman, 1993b, pp. 161-162). In terms of strategies, as things to help standardisers achieve goals, the basic issue is how standardisers can build a context favourable to the standard users (archivists), to the environment that strategies will be implemented, and to achievement of the goals. The right strategies can create benefits for all stakeholders. For individuals they can achieve their purposes. For organisations they can meet their requirements and needs. For the professions, they can encourage a feeling of accomplishment resulting from uniformity (Bearman, 1993b, p. 166).

Additionally, standards must be disseminated and publicised to encourage their use, through training, education, and publications. If standardisers need to engage a wider public in standardisation or standards implementation, standardisers must promote and disseminate information about standards to raise awareness about values of standards. Bearman (1993b, p. 165) points out if standardisers involve everyone in standards development, standardisers do not need to worry about promoting standards to everyone. The process of standardisation always focuses on consensus in a democratic process, in contrast with elite approaches. It is important to involve people who are marginalised or forgotten by centrally-led approaches.

Similarly, the UK participant shared her experience as standards setter that when the first version of Code of Practice on Records Management was introduced, she and the working group participated in road shows around the UK organised by the Information Commissioner's Office. Her team and TNA put together a training day: in the morning her team informed participants about what the Code of Practice on Records Management entailed, and then in the afternoon it was broken down into different workshops (one of which was a records management workshop focusing on the Code and the other was on dealing with archives and Freedom of Information) (Int.19). She suggested that standards setters should be willing to publicise and go around the country to explain the standards. Standardisers could use technology as much as possible to spread the words e.g. via blogs, a Facebook page, e-newsletters (Int.19).

Additionally, some standards may need guidance for their implementation. The example is ISO 15489:2001 where standards adopters should consult complementary standards and guidance publications because one standard does not always fit to all organisation, thus some organisations may need more comprehensive guidelines to help them apply standards properly (Joseph et al., 2012, p. 69). The high level ISO 15489:2001 is criticised very generic guidance (Shepherd, 2006, p. 10). It does not provide a detailed guide for practitioners. Shepherd (2006, p. 10) points out standards need to be translated through model records management frameworks into best practice to meet the specific needs of standards users. Consequently, DIRKS was created in the 1990s to put ISO 15489 (first edition) to work, as an online manual (Macintosh and Real, 2007, p. 50). The evidence shows that DIRKS become an important element which helped encourage

good records management programme in public sector of Australia as well as useful for private sector (Macintosh and Real, 2007, p. 50).

In summary, past research on the experience of standardisation show that “the acceptance of standards was by no means a neat development, from international standards based on principles, to national standards developing within an international framework, to local standards using institutional interpretations and applications” (Stibbe, 1993, p. 154). Hence it is crucial to learn a lesson from the past through the literature review and data from interviews so in the future Thai archival professions can adapt or apply these suggestions into their standardisation process.

2.6.2 Suggestions for standards adoption for archival practice in organisations

Lessons learnt from the literature review suggest that there are six factors archivists should take into consideration before they choose to adopt standards for archival practice.

Firstly, recordkeeping must be integrated and comply with the law in a country, especially in countries where records and archives legislation is in place (Crockett and Foster, 2004, p. 53) thus practitioners should understand the rules of legislation that are relevant and make sure that the standards, they plan to use, are not in conflict with the legislation.

Secondly, the choice of standards depends on needs and resources of organisations (Schaefer and Bunde, 2013, p. 59). This is coherent with what was mentioned before that financial resources impact on standards implementation, not only the price of purchasing some standards document, but also the costs of establishing and maintaining standards implementation (e.g. training cost, technology device cost).

Thirdly, before selecting standards to use, practitioners should understand the current practices in organisations. Practitioners can conduct a survey to evaluate current practices and identify the gap, challenges of the current practices, and analyse how new standards can develop the practices or what benefits

practitioners can have from adopting new standards (Schaefer and Bunde, 2013, p. 59).

Fourthly, not only for current practice, practitioners should also consider future possibilities of their organisations as well (Schaefer and Bunde, 2013, p. 59). This can be done by adjusting practices to conform to the vision of the organisations. For example, the NAT should revise its policy about public data access or launch a data sharing programme with other institutions in the near future.

Fifthly, the archives should seek to include all stakeholders' and users' demands when selecting which standards should be used in the archives.

Sixthly, the practitioners should bear in mind that neither one national nor one international standard can fit all. Past reports indicate that even international standards are not always fit for all - "still, ISO 9000 registration is not appropriate for all suppliers. Some industries have adopted other quality standards that serve them well (Stevenson and Barnes, 2002, p. 702)".

In summary, apart from selecting the right standards to use, professionals should decide whether practitioners want to adopt standards entirely or partially, and whether practitioners want to adapt standards to make standards suitable for their organisations, or fit for a specific purpose. Professionals who avoided using standards in the past may wish to reconsider their decision. For practitioners who already are interested in using international standards, they must carefully analyse all information relevant to standards and standards adoption before implementation.

2.7 The example of ISO 9000

This section examines literature on the implementation of ISO 9000 series in Thailand. The reason why ISO standards, in particular ISO 9000 series, are mentioned in this chapter is because the author finds that the ISO quality standards share something in common with records and archives standards and thus they are related. The section starts with the relationship between recordkeeping and quality management standards (i.e. ISO 9000 series), history of standards adoption, introduction of ISO standards in Thailand, and ISO 9000 series adoption in Thailand. The author discusses relationships between ISO standards and recordkeeping practices.

ISO 9000:2015 Quality management systems - Fundamentals and vocabulary (International Organisation for Standardisation, 2015b, p. 18) defines quality as “a degree to which a set of inherent characteristics of an object fulfils requirements. The term quality can be used with adjectives such as poor, good or excellent”. The author uses this definition provided by ISO 9000:2015 to investigate archival practices at the NAT throughout this thesis.

Recordkeeping has a big role in quality and quality management systems. “Records can and should be indicative of quality” because they provide evidence about product performance, processes, instructions, and personnel (Brumm, 1995, p. 26). Records must be created for any activities contributing to high quality products and services. The main function of records is to “provide information about what has been done more accurately than is possible with human memory” thus they are important tools in a quality environment. Brumm (1995, pp. 24–25) explains the roles of records in a quality environment as follows.

Firstly, records provide evidence and this evidence is regarded to be “more reliable and trustworthy than human memory”. This is because records contain information which was recorded at or near the time of the activity (Brumm, 1995, p. 24). Records can provide evidence that holds organisations accountable. Moreover, records create confidence in their customers and regulatory authorities that organisations are aware of quality and that everything is done to build products and services of consistently high quality by collecting and recording information about activities affecting quality. Moreover, records foster confidence that organisations continue to create high quality products and services in the future (Brumm, 1995, p. 25). Furthermore, records demonstrate ability of organisations that they can create high quality of products and services by consistently recording information about quality and analysing and using that information. In summary, much literature about quality standards indicates that “success of the quality management system depends largely on how successful the records management system is. Quality management is inconceivable without systematic information and records management and it cannot function without it” (Gunnlaugsdottir, 2012, p. 183).

Secondly, ISO standards adopt the theory and concept of records and archives management so there is a reason why organisations must keep their records. ISO standards apply records life-cycle theory (Brumm, 1995, p. 6). ISO

acknowledge the concept that good recordkeeping supports and sustains effective quality management. For example, “ever since the first editions of the ISO 9000 standards there has been an emphasis on documentation and records management. Many consider these areas a focal point in the certification process (Gunnlaugsdóttir, 2012, p. 172)”. It is apparent that proper documentation and records control are the heart to any quality management system.

ISO quality management standards also encourage organisations to create records retention schedule which is a fundamental tool in records management programme (Brumm, 1995, p. 273). Archives are mentioned in ISO standards. The glossary of Managing Records for ISO 9000 Compliance defines archives as “the facilities where records of an organisation are preserved because of their continuing or historical value” and describes archival value as “the determination in appraisal that records are worthy of indefinite or permanent preservation” (Brumm, 1995, p. 411).

It is noticeable that records are different from documents in quality management standards, terms which sometimes overlap. For quality management standards, records (meeting minutes, a report, a complete test sheet, etc.) present what has been done and documents (a manual, a system procedure, a specification, a drawing, etc.) shows what will be done (Wealleans, 2000, p. 65). The first edition of ISO 9000 standards was released in 1987 and revised in 1994 (International Organisation for Standardisation, 1994) when “the general tenor of the revision was to place much stricter documentation requirements on the organisations seeking registration” (Gunnlaugsdóttir, 2002, pp. 40–41).

According to ISO 9000:2000 (International Organisation for Standardisation, 2000b), documentation “enables communication of intent and consistency of action (Gunnlaugsdóttir, 2002, p. 44)”. Documentation contributes to provision of objective evidence, repeatability and traceability, achievement of conformity to customer requirements and quality improvement, evaluation of effectiveness and continuing of quality management system, and provision of appropriate training. There is awareness that documentation is not the same as records management, nevertheless documentation and records management share something in common that “all records must be identified, pertinent records kept up to date, reviewed as

needed, and properly stored and retained for pre - determined periods of time” (Gunnlaugsdóttir, 2002, p. 46). These are central to quality system standards.

Thirdly, ISO itself has created and developed standards for records and archives management. ISO 15489: Information and documentation -- Records management (International Organisation for Standardisation, 2001) “provides guidance on records managements in support of a quality process framework to comply with ISO 9001 and ISO 14001” (Gunnlaugsdottir, 2012, p. 172). Standards on information, documentation and records management refer directly to ISO quality management standards and demonstrate how records management facilitates the quality activities. Although it is apparent that documentation and records management are core issue in ISO 9000 series certification process, the literature shows that many organisations found it difficult to meet the requirements regarding information, documentation, recordkeeping, traceability (Gunnlaugsdottir, 2012, pp. 180–181).

There are many experiences in other countries where statistics show that organisations fail to obtain certification due to issues concerning document control (Gunnlaugsdóttir, 2002, p. 44). Then a major deficiency found in organisations trying to apply ISO 9000 standards is “inadequate document control or records management and documentation practices” (“Standards notes,” 1994, p. 180). Similar to cases in other countries (Gunnlaugsdottir, 2012, pp. 180–181), one of the main hindrances in getting and maintaining ISO certification of Thai organisations relates to accepted requirements in recordkeeping. Later, many organisations worldwide realised that their quality system cannot operate effectively without good records management programme.

In conclusion, ISO standards and records and archives management have close relationships as both support quality management systems and help organisations to operate and achieve their goals. However, all organisations should have recordkeeping systems in place whether those organisations choose to implement ISO standards or not. The adoption of ISO standards (either quality management standards or recordkeeping standards) should enhance or be “value-added activities” (Gunnlaugsdottir, 2012, p. 181) that support efficient organisational operation.

2.7.1 International standards in Thailand

There has been much academic research conducted in Thailand relating to ISO standards. In terms of ISO 9000 series, the Thai literature about this standard can be reported in five groups based on the focus of the research: ISO 9000 series standards application, and then attitude, knowledge, personal characteristics, and other related topics. More details of Thai academic research on ISO 9000 series can be found summarised in Appendix 9.

Application/Implementation of ISO 9000 series standards

From 1993 to 2004, 5,833 organisations in Thailand registered as ISO 9000 certificate holders (Prasertsinghkul, 2007). The ISO 9000 series is quite popular in Thailand, especially for the private or business sector. The primary reason for ISO 9000 series adoption is to satisfy customers, especially international customers. If organisations can develop their quality administration system to meet the requirements of the international trade organisation, then ISO 9000 series is regarded as the key to penetrate global markets. In theory, the ISO 9000 series helps guarantee that each work process has been done properly and systematically to ensure that the final product or service is of the expected quality. Another advantage of adopting ISO 9000 series is that the organisation reduces its costs because the production process is more efficient (Kulmeungnoi, 2004, p. 4)

When the ISO standards were introduced to Thailand, much research was conducted to explore and assess the efficiency of adopting the ISO standards. The research also provided solutions and encouraged organisations to implement ISO standards. The majority of research relating to ISO 9000 series focused on implementing the ISO standards in a specific context or a company. The subjects of the literature range from preparations, ongoing implementation, a follow-up, to a re-assessment. The methodologies used in this research were examples of cases represented in quantitative and qualitative data.

Thai research shows that ISO 9000 series was adopted in various fields; industrial sector e.g. Ngarmkunroongrote (1995), Keeravisaskij (1999), Prachapiphat (1999), Kanokmahakul (2000), Koomroongroj (2002), Charoenpakdi (2007), Pichetverachai (2007), Tunshongcharoen (2007); business sector e.g. Taweedej (1999), Chomjinda (2000), Nopteepkangwan (2000), Chitsakdanon

(2003), Gategrut (2003), Kulmeungnoi (2004); hospital e.g. Bunjongkarnkul (2002); education e.g. Rongkum (1997), Suwanayuen (1999), Paowattana (2002), Sirisajjanurak (2005), Kaewchur (2007); public sector e.g. Niyomsiri (2000), Pitisuksombat (2000), Ramchaidech (2000), Phakdeevanich (2001), Sakuntamalik (2004), Prasertsinghkul (2007); and information services e.g. Srisamer (2000), Sriphiphat (2001), Hanpradit (2003).

Attitude

When the ISO standards were introduced in Thailand, they were quite novel; some literature regarded them as innovative. Apart from the majority of research that suggested solutions for ISO standards application, the second most popular research theme was attitudes towards ISO standards and towards other related issues e.g. auditing, TISI. The theories used in this research were quite similar, but the sample populations varied. A popular research method was analysing the case study from a specific context or a particular organisation to generalise the validity of the result or to explore whether the results could be used in similar context. Examples of Thai research on how attitude affects ISO standards adoption include Smudraprabhud (1997), attitude towards ISO 9000 series Katraunmoon (2006), attitude towards other related subjects e.g. Petchsrisom (2003), Pradubsri (2012).

Apart from ISO 9000 series application and attitude, research was done to collect data about particular groups of people e.g. industry, education, service providers, etc. They can be categorised into three main topics which are knowledge, personal characteristics, and relationship. However, some research provides more than one topic and sometimes the topics are inter-related. Researchers aimed to examine a level of knowledge of a particular group of people about ISO 9000 series standards and explore the relationship between knowledge level and ISO standards adoption. Examples are research of Taweedej (1999), Treetanakitti (2001), Kasamsun (2002), Petchsrisom (2003), Suktawornjaroenporn (2004), Timaithong (2004), Chotephan (2009).

Personal characters and their impact on ISO standards adoption is a topic where there are many variables of personal characters (e.g. gender, age, work experience, level of education, work position, department, personality, marital status, relating experience) included in the research. The researchers tried to

investigate whether the different personal characters in different sample groups proved that personal characters affected on acceptance and success of ISO standards implementation. This research is done by Maphopsuk (1999), Ratanamalaya (2001), Nakpun (2002), Srithong (2002), Jui-in (2004), Narindrankorna Ayuthya (2005), Sirisajjanurak (2005), Pradubsri (2012).

Finally, other relevant topics combined a relationship between ISO 9000 series and all subjects such as expectation, job satisfaction, organisational climate, for example, research by Sayounggoon (2000), Panasomboon (2001), Jongon (2007).

2.7.2 Evolution of standards in Thailand

This section explores history of standards adoption in Thailand since the 19th century with its focus on how modern standards from international organisations were introduced to Thailand. There were many things in Thai society regarded as standards. For example, Sakdi Na system is a relation between wealth, status, and political influence under which the king allotted rice fields to court officials, provincial governors, military commanders, in payment for their service to the crown. Apart from Sakdi Na system, there were legislations, tax system, etc. which were standards in Thailand in the past. These are examples of the traditional standards that established and implemented in Thai society. Therefore, it can be said that standards are not a new thing in Thai society. However, standards in the modern world are different from the traditional standards.

The key modern standard implemented in Thailand through the result of external factors, was the silver standard. Historically, Thailand had used the silver standard until 1855 when Siam (Thailand) signed an agreement named Bowring Treaty or Treaty of Friendship and Commerce between the British Empire and the Kingdom of Siam. This treaty influenced the economic development historically by allowing free trade by foreigners and bringing in a new system of imports and exports. Consequently, Siam used the silver standard for its domestic and international trade. Due to the lower value of silver and at the suggestion of Mr. Rivett Carnac, a British financial agent, Siam moved from the silver to the gold standard in 1902. The Money Act 1903 provided specification of coin production through the use of a scientific process. The Ministry of Finance set up a

governmental laboratory to decompose elements for quality control of silver and make the coin reach a fixed standard.

During the Second World War, due to a lack of imported products, there was a big demand for domestic industry to fill the gap of a shortage of imported products, thus in 1939 the Thai Department of Sciences and Ministry of Industry initiated a move to protect consumer's right and to boost industrial promotion by providing a service to accredit the quality of domestic industrial products using standards of international organisations, foreign countries, and accredited institutions. Unfortunately, after adopting standards of foreign countries, there were some restrictions such as different climate, overestimated high standards, etc. which made the manufacturers unable to follow.

Between 1965 and 1966, the Department of Sciences created the Standards for Industrial Product project, granting approval from the National Economic Development Council and the Cabinet, which was incorporated in the Second National Economic and Social Development Plan from 1967. In 1968 the Industrial Products Standards Act was promulgated (the latest version is the Industrial Product Standards Act (No.6) 2005). The existence of the Act was a milestone of official standards and standardisation in Thailand. In 1969 the Thai Industrial Standards Institute (TISI) was established, under the Ministry of Industry, responsible for developing standards, promoting standards implementation, and conformity assessment.

In 1975 the concept of Quality Control (QC) was first introduced into Thailand through two Japanese subsidiary companies (Thai Bridgestone Co., Ltd, manufacturing rubber tires, and Thai Hino Industry Co., Ltd, manufacturing trucks). The two companies were very successful, so the public sector, state enterprises, banks, and industrial bodies extensively adopted the concept of quality control in their organisations. The primary phase of application involved the organisations focusing on human resource management because it was believed that humans are the most important resource for good quality products. The philosophy of quality control became widespread in the Thai industrial sector. In 1987, the TISI considered that ISO 9000:1987 should be applied in the industry sector across the country, and it was translated and promulgated on 4th June 1987. After the modern standards were introduced to Thailand, ISO standards came to Thailand at nearly

the same time as when TISI was founded and since TISI foundation is a milestone for Thai industry's history, it can be said that ISO standards play a role at a national level from the start.

2.7.3 ISO introduction in Thailand

This section explores the example of ISO 9000 series adopted in Thai context which manifests complexity underlying literature about this topics indicating that there were both inward and outward drivers to encourage Thailand to implement ISO standards.

The origin of ISO standards derived from weapon supply system in Europe during the Second World War when the customer needed assurance in quality of the weapon product (Phakdeevanich, 2001, p. 1). At that time, the weapon manufacturing factories were various and located in many places thus it was necessary to create a standardised method to control quality of materials and process of manufacturing. In the period after World War II ended, England continued to use similar methods of quality control towards civil manufacturers so England collected, revised and set up a specific standard for those civil factories. At the same time, other European countries wanted to standardise goods production from various sources to make them meet the same level of requirement, thus Europeans brought British standards as a model and transformed them into ISO standards to be used as European standards. For example, in 1987, ISO used BS 7570 of BSI as a model to create ISO 9000 standard, kept updated and revised until it became ISO 9000:2000 version (Koomroongroj, 2002, p. 2). Consequently, any foreign partners wishing to trade with the European market inevitably adopted ISO standard.

The trade market was not only confined to a single nation, but ran beyond geographical borders as a result of globalisation. Nevertheless, many countries wanted to protect their benefits and advantages against their competitors. Hence one solution was to form an economic community to increase power of negotiation over non-members of the community. Since 1993 the European Community (EC) implemented a measure regarded as a trade barrier towards countries outside the community. Although products may be certified and guaranteed by other national standard already (Koomroongroj, 2002, p. 1), the measure required outside traders to meet standards set up by the EC if they intended to export the product to the EC.

In order to assure the product's quality, the EC, as dominant business partner of many countries in global market, played a significant role in setting up international standards for quality management. Consequently, the European standard became ISO 9000 standard, known as Quality Management System (QMS). This standard focused on quality management systems in an organisation whether it was manufacturer or service provider. The standard specified requirements, baseline of practice, procedures, and rules the organisation should have to ensure that the product or service meet the satisfaction of customer (Ngarmkunroongrote, 1995, p. 1).

2.7.4 Motivations for international standards adoption in Thailand

Although the factors for Thailand to adopt ISO standards were mainly about commercial purposes, the literature shows that the issues in industry sector sometimes appear in other fields as well, including the records and archives professions at the national level. That is why it is crucial to mention why Thailand needed to adopt international standards and to find out if international standards adoption is actually helpful.

The first motivation for international standards adoption in Thailand, driven by external factors, was an attempt to penetrate the global market. Thailand has been a member country of GATT since 1982 before the WTO was established in 1993 as the outcome from the eighth GATT round of negotiations or the Uruguay Round (Ngarmkunroongrote, 1995, p. 1). The WTO aimed to encourage free trade in global market to the same standard thus it set the rules for member countries and made them participate in trade negotiation to reduce barriers between nations. Consequently, Thailand as a member country opened free trade area for foreign traders and allowed foreigners to compete with domestic traders by 2000. After GATT was enforced, many countries faced new barriers for foreign exporters. The ISO 9000 was used as a tool or a barrier for negotiation between countries. This was the reason that some researchers regard ISO standards as an indirect barrier or non-tariff barriers (Ngarmkunroongrote, 1995, p. 1). The ISO 9000 series was implemented in many countries all over the world, especially as national standard in some countries i.e. Thailand where the TISI adopted ISO 9000 series in 1991 under the name TISI/ISO 9000 (Sakuntamalikh, 2004, pp. 2–3).

The ISO 9000 series was originally introduced to Thailand by private enterprises trading with Europe. The enterprises were motivated by the fact that they needed ISO 9000 series certification to guarantee product quality, to overcome non-tariff barriers, and to keep penetrating global market. Afterwards, the ISO standards were widespread to other sectors i.e. services, business or even public sector. By 2001, 18 government agencies were certified with ISO 9000 such as Department of Consular Affairs, Ministry of Foreign Affairs, Department of Provincial Administration, Ministry of Interior etc. The ISO standard was popular in Thailand as shown by an increase in organisations applying to be certified, especially companies wishing to attract foreign customers (Phakdeevanich, 2001, p. 1).

Secondly, international standards adoption was expected to recover the decline of industrial development, an internal Thai factor. During World War II, Thailand faced shortages of industrial products, especially medicine and essential commodities. Consequently, after the war the Thai government focused on industry and the Investment Promotion Act B.E. 2497 (1954) was promulgated (Prachapiphat, 1999, pp. 1–2). The government intended to improve Thai industry by investing and managing manufacturing businesses directly. However, by 1960s the government let the private sector play more important roles in investment and management of industry. The government enacted the Investment Promotion Act for industrial affairs B.E. 2503 (1960). The Act was the main legislation that lasted for more than 29 years to support industrial investment. Under this Act, the government provided the right and benefits to investors and entrepreneurs in order to encourage them to join industry sectors by reducing tax rates on machines, materials and revenue, allowing foreign labour to work in manufacturing, allowing overseas companies to possess land for industry (Prachapiphat, 1999, pp. 1–2).

To balance every aspect of development in the country, Thailand issued the National Economic and Social Development Plan since 1961 as a framework for collecting and distributing resources e.g. funding, labour, human resources, job market to support manufacturing business and better living conditions for the population. Since the eighth National Economic and Social Development Plan (1997), globalisation has had an impact on Thai national policy and strategy (discussed more in Chapter 3). Advancement of telecommunication around the world resulted in globalisation and led to new economic organisation stimulating factor for production and investment transfer. The eighth National Economic and

Social Development Plan emphasised many types of development to increase gross domestic product, to distribute the money to local area, and to attract foreign currency by tourism, etc. (Prachapiphat, 1999, pp. 1–2).

Nevertheless, a major problem of Thai industry, a significant part of the domestic economy, was that the industry grew very slowly. Prachapiphat (1999) explains that by the time the economy grew, businesses were able to make profits without necessarily improving the quality of goods or working processes, meanwhile the competitors in other countries kept upgrading. The accumulated problems were quality of goods, production, marketing and management. The weakness of Thai industry led to decreasing competitiveness. The problem of capacity in the Thai industrial structure can be summarised as follows. Firstly, most small and medium-size enterprises used obsolete machines and old technology causing low outcomes and low efficiency but high costs compared to neighbouring countries that regularly developed technology. Secondly, the entrepreneurs lacked knowledge and skill about management, marketing, product and packaging development, and they lacked information about the current conditions in the market. Thirdly, Thai labour force had very low level of education. Prachapiphat (1999) reveals that $\frac{3}{4}$ of Thai labour graduated at secondary school level. Finally, the public sector policy was obscure and disorganised. Some rules and regulations even hindered investment and industrial exports (Prachapiphat, 1999, pp. 2–4).

Furthermore, the problem of Thai industrial capacity seems to be very similar to the issues in the Thai archives e.g. working with obsolete machines and technology, lack of knowledge and skill about records and archives management, marketing, technology, policy at higher levels in the organisation was not clear enough so the employees did not know which direction to go to (see more discussion from the interview in Chapter 4). As a result, Thai archives are behind those in the same region. Yet, the NAT applied and adapted some parts of international standards in their practice i.e. preservation and cataloguing because it is believed that international standards are the best practice and can help solve low quality of archival performance.

The third motivation for standards adoption was to compete with neighbouring countries, an external factor which resulted from a side effect of the first and second factors since Thailand needed to be a competitor in global markets.

Although ISO 9000 series was adopted in Thailand since 1991, the number of organisations certified by ISO in Thailand was initially very small comparing to neighbouring countries e.g. Malaysia and Singapore who adopted ISO standards more enthusiastically. Thailand became a weak competitor in the global market.

The final motivation for international standards implementation was a necessity to reform the public sector. This internal factor drove the public sector to find methods of improving its service and administration, the public sector considered the international standard as one solution. The government tried to encourage those in the private sector to adopt ISO standards to improve its quality management, but the government agencies themselves were the last to actually adopt ISO standards in their organisations. Although the government agencies relating to public service had plans for renewal in order to improve their services, these government bodies still had a negative reputation in public eyes (Ramchaidech, 2000, pp. 1–2).

Since the seventh Thai National Economic and Social Development Plan 1992, the world faced globalisation which shaped social and economic development. By this time, the Thai government focused on sustainable development instead of short-term solutions (Ramchaidech, 2000, pp. 1–2). In 1997, the eighth plan aimed to develop human resources by encouraging the population to be educated to their full potential in order to participate in national development because citizens are the ones who could set the policy and could get the benefits and effects from development directly. The reformation of public sector was expected to improve working process of government agencies so people may have more convenient, faster, and better service. Furthermore, the environment had changed and there were more competitors thus the government needed to adapt to survive. Therefore, there were two options available: first option was privatisation – to let private companies administer some government agencies, especially task runs by state enterprise, and the second option was improving their service by changing their attitude towards users by regarding users as customers (Ramchaidech, 2000, pp. 1–2).

According to Pitisuksombat (2000) in the public's eyes, the negative reputation of public sector were, for example, working slowly, being complicated to deal with, having too complex bureaucratic structures, lack of transparency,

irresponsible, obsolete, inefficient and ineffective. These negative reputations were expected to be fixed as soon as possible in order that the Thai government could fit into the changing society and economy of the world. Nevertheless, the public was aware of the growth of industry and service business. Particularly, capitalism and free trade made it inevitable for the private sector to interact with public sector more than ever. Consequently, both public and private sector were required to be more flexible to respond to the current circumstance of social and economic changes.

Moreover, the reform of the public sector's working processes was important to national development in the short and long term. Reform was more obvious at the international level because globalisation compels any organisation to adapt in order to survive. The Constitution of the Kingdom of Thailand B.E. 2540 (1997) stated that the quality of government service management was a duty of the public sector to serve the people. Unlike the previous Constitutions, this 1997 Constitution was the first to clearly state the role of government to provide services to the citizen. Pitisuksombat (2000) explains that 1997 Constitution changed a principle about government's service; a service which was essential and fair for the people, because the Constitution of 1997 clearly stated that providing the service was the responsibility and duty of public sector and moreover people had a right to receive good quality services from government.

However, although 1997 Constitution granted the citizen's right to have good services, in reality the right to provide services was exclusive for the government in that the governmental agencies were the one who set the types of service, the rules, the process, or even the condition of the service they provided. There was no guarantee that people would receive good service. Consequently, although some government agencies improved the efficiency of their service, the problems still existed because the government bodies adhered to the rules set by them instead of prioritising the user's request. A lack of good management on cost, outcome, and standard were another problem, and as a result, they caused the delay in service delivery and time-consuming, wasteful resources, and user's dissatisfaction (Pitisuksombat, 2000, pp. 1–2). Furthermore, advanced telecommunication technology allowed people to change their role from being a passive service receiver to being more active because they could request for good quality and fast service. Also, the freedom and availability of telecommunication technology allowed people to engage in any decision made by government. Hence, the government had

to be more efficient. While quality development for government service was taking action, there was an effort to adjust attitudes of officials and to change from self-administration focus into better service provider.

Pitisuksombat (2000) suggests that government agencies as service providers should listen to the citizen's or the users' demand and try to respond to them. The government agencies should focus on an outcome of good service by setting up standards and transparent procedures which could be audited. Moreover, they should appoint someone responsible for each particular task for every aspect of a job, thus the government should set the policy from ministerial level to departmental level on service provider's development to be more flexible when performing their tasks and to increase their efficiency to meet the same efficient level of private sector. Also, the public sector should adjust their standard of performance to make it more transparent and up-to-date with the current circumstance and to make it acceptable at international level. After the government was aware about the negative reputation and ineffective management in the bureaucracy, the reform of government working processes took place (Pitisuksombat, 2000, pp. 1–2). The aim was to build new ways of public administration out a results-based management approach. The government created very clear, concrete, and tangible performance indicators. If it was not possible to measure the outcome of working process, a checking system would be created by collecting data from user to indicate the result instead. This method derived from the concept that quality is about customer satisfaction (Pitisuksombat, 2000, pp. 1–2).

For the NAT, which is part of the public sector that follows the policy of the ministry, the NAT adopted this concept of reform and set up its own performance indicators to improve the current performance in the organisation. This explains why the Standard for Archival Practices in Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999), the first version of the internal standard of the NAT, is in the form of performance indicators and based on performance outcomes. Likewise, the NAT also carries out a survey to collect data on user satisfaction and this is an example of the checking system mentioned above, when the outcome cannot be measured or tangible.

2.7.5 The result of ISO standards implementation in Thailand

Koomroongroj (2002, p. 2) explains, for the private sector e.g. construction business, ISO standards were little recognised and the interest in ISO adoption only slowly increased. There were many reasons behind the unpopularity of ISO standards e.g. lack of ISO understanding, current market conditions, readiness and potential of enterprise, etc. Although government agencies required private enterprises wishing to be public sector partners to get ISO 9000 series certification, still the readiness and response were at very low level thus it was hard to compete with the neighbouring countries who had taken ISO adoption more seriously.

As mentioned above, international standards adoption was expected to help solve the issues in Thailand, but it is doubtful whether standards adoption is truly the right solution or actually improved efficiency and effectiveness of government operations. Much literature used the number of organisations certified by ISO to indicate the success and popularity of international standards. However, it is important to bear in mind that the motivations of implementing standards in the private sector and public sector have different agendas and priorities. Nevertheless, it is still useful to analyse the case examples from those organisations in private sector to see the pattern of benefits, costs, opportunities, and threats before and after standards adoption and learn from those cases because the analysis helps planning the preparation of standards adoption at the NAT or other archival institutions in the future.

After Thailand became a member of ISO, according to Cabinet resolution on 10 September 1991, ISO 9000 was used as criteria to define quality standard under supervision of TISI, Ministry of Industry. Ngarmkunroongrote (1995, p. 4) reveals by 1995, 20 organisations were certified by TISI (one organisation for ISO 9001, 19 organisations for ISO 9002). The explanation is that ISO standards were too novel for Thai business. Moreover, it took at least 12-18 months to implement ISO standards in organisations successfully because the existing system must be adjusted to integrate to the standard requirements. This adjustment process needed participation from all staff in organisations from executives to employees which was not an easy thing to achieve (Ngarmkunroongrote, 1995, p. 4).

Apart from low potential in competition in global markets, Thailand faced non-tariff barriers from abroad in many forms such as the requirement that traders

must be ISO 9000, ISO 14000, ISO 18000 certified. Although there was a high rate of interest, the number of organisations that were actually certified by ISO was small (Kanokmahakul, 2000, p. 4). 130,000 organisations were registered at Ministry of Industry in general. By 2000, there were 1,770 ISO 9000 certified organisations, which included more manufacturers than service provider businesses. Only 1,351 organisations were ISO 9002 certified (the most popular ISO standard for Thai industry), a small number compared with Malaysia and Singapore. In 2004 3,000 organisations were ISO 9000 certified and this number was regarded quite small compared to other Southeast Asian countries (Sakuntamalik, 2004, pp. 2–3). However, Charoenpakdi's research (2007, p. 9) suggests it unlikely that the number of organisations in other Asian countries was much higher than in Thailand; 2,000 organisations in Singapore, 1,000 organisations in Malaysia, 1,500 organisations in Hong Kong, but 56,000 organisations in UK.

All these numbers and statistics about certified organisations shown above may not relate to the records and archives profession, but in fact these numbers conveyed an important message. The small number of actual Thai companies who were ISO certified was quite a contrast with the apparent rate of ISO popularity in Thailand. Surprisingly, the contrast between a rate of popularity of a standard and a rate of actual adopters that implemented a standard appeared in the data from the interviews in this research too. The data from the NAT employee's interview showed that a majority of participants were interested in ISO standards or other international standards adoption, but they were not certain if the implementation could happen in reality. Hence it showed that the level of interest may not always be coherent with the actual action in practice (see more in Chapter 4 and 5).

To conclude from the literature review, the main reason for organisations to implement ISO 9000 standards was to increase the potential in global market competition. The secondary motivation was to improve the organisation. The driving factors came from outside the organisation, external factors. ISO standards adoption was popular because it provided benefits in marketing and competition. It also reached to the point that many entrepreneurs believed that even non-export companies should apply for certification (Charoenpakdi, 2007, p. 9).

On the other hand, although ISO 9000 was considered to be very well known and often heard from the media (TV, radio, newspaper, published works) many

people still misunderstood about ISO standards, according to Ramchaidech (2000, pp. 6–8). Firstly, people believed that an ISO standard was for manufacturing industry only. Probably, it was because more than 95% of Thai organisations which got ISO 9000 certification were in manufacturing industry as the number shown in the previous part of this chapter. In the early period when Thailand adopted ISO standards, the companies applying for ISO certification were those who exported their products to foreign countries, especially to countries in EU which required the trader to have ISO certification. In fact, ISO 9000 standards could be applied to any types of business because it could ensure the customer that the goods or service will reach the expected standard that both party agree on. Therefore, the organisation that provided services, including information services like libraries, archives, and museums could also adopt the ISO standard.

Secondly, some confused the ISO 9000 standard with “Symbol of Industrial Standard” as a result they thought that the ISO 9000 standard was assurance of product’s quality. In Thailand, the “Symbol of Industrial Standard”, a national standard for each type of products was set by TISI. If the entrepreneurs wanted to have the symbol on their product’s label, the product was tested and audited by TISI. If the products reached the requirement of each criterion, TISI would certify the products and allow the company to show this “Symbol of Industrial Standard” on the label of product. However, the ISO 9000 standard or TISI/ISO 9000 is not related to the “Symbol of Industrial Standard” at all. The ISO 9000 standard was to guarantee the process of work that required to be performed properly and consistently to achieve the good quality of goods or service.

The confusion of the ISO 9000 standard with “Symbol of Industrial Standard” while outside records and archives management, in fact, is a good example to show the trap that sometimes people misunderstand the concept of quality by equating quality with having one symbol on industrial products. The concept of quality was everywhere in our daily life, especially when realising that every activities people did, people expected to have better quality of life. Quality was more than a product in the supermarket. Quality was not just about the relation between TISI and manufacturers, but quality covered relationships between government and its citizens in a broader sense.

Thirdly, there was misunderstanding that the ISO 9000 standard was about quality control, which was right and wrong. The statement was right because in fact quality control was a part of quality management system under ISO 9000 standard, but at the same time the statement was wrong because the scope of ISO 9000 standard covered more than just quality control.

Despite these misunderstandings, the private sector continued to take explicit interest towards ISO standards. Since 1991 when the ISO 9000 became national standard granted by TISI, Thai industry was aware of significance of quality system management. Taweedej (1999)'s research reveals that 95% of respondents were interested in adopting ISO 9000 in their organisation. Most of the organisations certified or implementing ISO 9000 standard were medium-large companies; having more than 100 billion Baht investments and having at least 500 employees. The result of organisations implementing ISO 9000 and getting certified showed their working practice was performed more systematically, precisely, and traceably. The standards implementation also reduced working overlap and cost from errors. Also, standards adoption built working systems with discipline and teamwork rather than depending on personal capacity because the standard developed employee's skill for work rotation. The documentation and records were evidence to control every process and no matter how many years went by, the working process was always recorded. The standard also brought quality assurance, cost saving, and customer's satisfaction (Sakuntamalik, 2004, pp. 2–3). As a consequence, much research had been conducted to estimate and assess the ISO standard adoption in Thailand by using case studies from many companies.

In conclusion, as mentioned above, although the case examples were mainly from industrial and private sectors, these literature reviews were still useful to information profession in terms of shaping the context of Thai society, how it adopted international standards and responded which led to success or failure of implementation. The results of the literature provided many suggestions for any Thai organisation, including those in public sector such as the NAT who considered implementing ISO standard.

2.7.6 Factors supporting successful ISO 9000 implementation in Thailand

The lessons learnt from the literature reviews suggest that to encourage employees to accept ISO 9000 standard and allow employees to follow and

implement the standard better (Keeravisaskij, 1999, pp. 117–119), Firstly, information on ISO 9000 standard should be publicised and disseminated, emphasising benefits from standards adoption. The research indicated that inter-communication between employees impacts on ISO 9000 acceptance, thus the employees should be informed about the standard knowledge. This was relevant to the data from the interviews showing that the knowledge about the records and archives management and information about international standards had an impact on the acceptance and awareness of the archivists in the National Archives.

Secondly, increasing the number and variety of training courses on ISO 9000 standard and as improved knowledge about ISO 9000 was related to the level of acceptance of employees. ISO 9000 standard was quite new to some employees therefore the training offered to employees within an organisation should not only provide general information about ISO standard, but the scope of information should also cover other topics relating to the standard e.g. how to do the documentation and keeping records under requirement of ISO 9000 standard, so the employees could have skill in writing records and manual and controlling records in quality management system.

Thirdly, executives at all levels relating to quality management system of the organisation should give priority to action about quality system ISO 9000 standard because it encouraged employees to perform and comply with ISO 9000 standard. The research shows that attitudes had impact on ISO 9000 standard acceptance. For example, the executives might make their concern and good perception towards ISO adoption more concrete by joining the meeting of quality management system team and follow up the implementation in each department. The executives should listen and help solving problem about ISO standard adoption and should show their support for the practitioners working in compliance with ISO standard and participate in correcting the performance error (Keeravisaskij, 1999, pp. 117–119). Moreover, assessing the result of success should be conducted at department level and organisational level. They might reward the employees who had a good performance in compliance with the standards (Chomjinda, 2000, pp. 127–128).

Fourthly, the quality management system must be supported seriously, sufficiently, and continuously from executives in terms of budget, space, materials, and potential human resources in order to succeed in standard adoption effectively

(Srisamer, 2000, p. 211). The participation of staff from every level was a key to ISO standards implementation success (Charoenpakdi, 2007, p. 101). In microscopic level, the NAT is an organisation that has executives just like other organisations. In macroscopic scope, the executives of the NAT are the ministry and the government. Their action and their commitment towards quality of the NAT's performance have a big impact at national level. Quality control was not taken seriously at the executive level, it can cause a damage of failure in practice and the public would receive ineffective information services.

A final suggestion from the literature review is a reminder about documentation system: when integrating ISO standards to existing working systems, considerable time was needed at documentation e.g. performing in compliance with records of quality system, establishing records system, etc. The principle of the documentation system under the ISO standards was to create the manual relevant to the actual task which staff performed, and in return, the staff would perform the task as described in the manual. In reality, it took time to revise and edit the manual to make it fit with the real practices (Koomroongroj, 2002, p. 64). Consistently and continuously revising and improving the organisation was good way to maintain ISO standard implementation. This issue about documentation systems in private sector organisations raises the question about how important good recordkeeping systems are for an organisation to comply with international standards and how the organisation dealt with this issue.

In summary, there are four motivations for international standards adoption in Thailand which are outwards economic development (i.e. a desire to compete in international market and to take a place on global stage) and inwards development (i.e. desire for public sector reform and to boost domestic industrial development). The literature indicates that there is complexity of implementing international standards, despite these inward and outward drivers. The literature also provides lessons that can influence on successful adoption of international standards in the future.

2.8 Chapter summary

This chapter has provided an introduction to archives and records management practice and to some of the standards that are currently adopted in that practice. It has then gone on to discuss more generally definitions, categories

and characteristics of standards, and the complexities around their development and adoption. The critical impact on the decision about whether practitioners or institutions want to adopt standards or not derives from the benefits practitioners expect to gain after standards adoption. In industry and technology sectors, economic incentives explicitly drive or discourage standards development and standards adoption (Weber, 1993, p. 113). Conversely, economic incentives are not the main motivation for standards development and adoption in the archival profession. There are many reasons for the archival community to develop and adopt standards at local, national, and global scale, and these are discussed in the next section.

2.8.1 Benefits of standards implementation

The benefits of standards implementation are various. The consistent use of appropriate standards is imperative to ensure best practice recordkeeping in an environment of constantly changing management styles, shrinking resources, rapidly evolving technology, increasing demands for legislative compliance, accountability and transparency, and greater needs for interoperability. There are many cases from abroad and in Thailand showing that applying standards for records and archival practices in an organisation can improve recordkeeping systems. At the same time, some case examples indicate that applying standards in organisations does not always guarantee a good quality of recordkeeping practices. However, there are still many advantages to adopting standards in professional practices which impact on the better quality of archival performance. According to the aims and principles of standardisation discussed in 2.5.1 and 2.5.2, the benefits of implementing standards can be synthesised as follows.

Table 2-2 Benefits of standards implementation

Aims of standardisation (Spivak and Brenner, 2001, pp. 29–30)	Principles of standardisation
Simplification	Principle 1: standardisation is a conscious act of simplification by the society. It prevents the generation of unnecessary variations of products where those variations do not provide any new or unique service.
Interchangeability	
Standards as a mean for communication	Principle 4: standards are compromises between various alternatives, involving a decision and to use an agreed upon option for a period.
Symbols and codes	
Safety	Principle 6: when product characteristics are specified, the

	standard test methods must be designated. When sampling is required, the size and frequency of the samples must be specified.
Consumer and community interest:	Principle 2: standardisation is a social, political, and economic activity. It should be promoted by a consensus of all concerned. Principle 3: a standard is not useful unless it can and will be used. Using standards may require some sacrifices by the few for the benefit of the many. Principle 7: the necessity for legal enforcement of national standards should be considered, having regard for the nature of the standard, the level of industrial development, and the laws and conditions prevailing in the society for which the standard has been prepared.
Reduction in trade barriers	

Firstly, in regards to simplification which are coherent to Principle 1, implementing standards helps to create products, services, and procedural uniformity. Standards help reduce complexity and ensure uniformity (Henderson and Dai, 2013, p. 11). The explicit example is archival description standards which facilitate user access to information (Schaefer and Bunde, 2013, p. 15). Standards act as a tool to form harmony in an industry even though the information industry may not need to be uniform in content. However, a benefit of standardisation is setting the process or product at the same point since, as Thomas (2003) points out, the standard provides “procedural uniformity”.

Moreover, after creating uniformity, standards can guide and establish consistency in practices. Consistency occurs in one’s own behaviour when an individual repeat practices in the same way to achieve similar quality of services and products. Standards offer archivists confidence to follow common procedures and assist us to make decisions (Henderson and Dai, 2013, p. 11). When consistency exists, it is likely that good quality services and products are created. For example, archival description standards facilitate efficient description and production (Schaefer and Bunde, 2013, p. 15).

Secondly, in regards to interchangeability, adopting a standard can facilitate interoperability because a standard provides product, service, and procedural uniformity (Thomas, 2003, p. 66). At micro level, as a practitioner in the records and archives profession, it is an ethical mission of records and archival professionals to facilitate information access to users. The duty of providing the service to help archive users access information is not limited only to the current users of an

archives, but also those who may become potential users in the future as well. Thomas (2003) emphasises that the industry which creates, circulates, and preserves information can only achieve its capability by establishing standards. Thomas (2003) uses the microfilm industry as an example to show the necessity of standardising the microfilm product, for suppliers, producers, curators, and readers.

Thirdly, in terms of standards as a mean for communication which are coherent to Principle 4, practitioners have standards to refer to when planning their strategy and can use standards for policy development. Also, standards can benchmark current practice among records and archival institutions across the country. Significantly, in an organisation where the environment or senior management has regularly changed, standards create consistency, which in turn decreases risk and instability that may affect the performance of the practitioner. Therefore, standards are seen as an important aid in strengthening the archive. Moreover, standards are useful to practitioners performing tasks in records and archives management who can find more efficient methods to deal with their responsibilities (Dryden, 2004, p. 94). Moreover, if something goes wrong in the organisation and the practitioners are accused of poor practice in recordkeeping, they can defend themselves by saying that their recordkeeping methods are in compliance with international standards.

Apart from communication between practitioners in the community, another benefit of having standards is to use them as a tool for inter-communication between different groups of professionals. An example of a case, showing the strengths and weaknesses of MoReq, reveals that MoReq can be a potential communication tool because the standard “explains concepts well, with a minimum of technical jargon, and provides reasons for each group of requirements” (Cain, 2003, p. 58). From this case, the standard must be very clear in its content, well-written, and contain as little jargon as possible in order to achieve this potential as a communication tool between professionals (as discussed in Chapter 4). There are case studies which show that records and archives professionals provide the text of the standard to other professionals when they have collaborative projects so the other professionals such as lawyers, IT staff, etc. may read and understand basic concepts of records and archives management.

Fourthly, in regards to symbols and codes, another benefit of adopting standards for archival practice is to sustain the establishment of records and archival professionalism. Due to the low profile of records and archives management in Thailand, standards and standardisation of practices would help to elevate the status of the profession. Standards support archival education because standards codify criteria of “appropriate description” (Bearman, 1993b, p. 163). Since standardisation reinforces the principles that an archival institution should be run and managed by educated professionals, standards raise the profile of records and archives practitioners in the public’s perception. At the same time, it enshrines professional values since well-trained practitioners are crucial for effective archives.

Fifthly, in terms of safety and specification which are coherent with Principle 6, archives can use standards as a tool to ensure that the recordkeeping system in an organisation is effective (Dryden, 2004, p. 97). For instance, a pharmaceutical company chooses to implement ISO 15489 because the company wants to ensure that the records manager set up the recordkeeping system in compliance with the best practice. The international standard is also used as a tool to audit the existing system (Crockett and Foster, 2004, p. 47). Kahn (2004, p. 34) suggests that auditing the past or monitoring present conduct is the best way for a sizable organisation to learn about its records management problems systematically. Hence this case shows that standards can be used to drive agenda to make changes e.g. transparency, good governance, risk reduction, etc. (Dryden, 2004, p. 97).

Furthermore, as a result of globalisation (discussed in Chapter 3), standards become more demanding and important in the modern technological and connected world. Standards help facilitate communication, support collaboration and sharing, instruct, save time and effort, and are a mark of professionalism. Standards facilitate information exchange of archival materials and union databases’ creation thus authority data sharing is possible (Weber, 1993, p. 113). Adopting standards in cataloguing, especially international ones in the digital age, helps users navigate finding aids and facilitate international exchanges of information. To set a standard of archival practices among the public sector is crucial because a systematic and common structure allows searches across archival institutions and sustains inter-institutional work for information access. For the NAT, if a standard is applied in the practices of the archivist, it is easier for information interchange between the NAT and other archives inside and outside Thailand. Moreover, it is a crucial mission of

the records and archives professional to preserve the information for the future (Jones, 2003, p. 70) thus it is necessary for the archivist at the NAT to ensure that the records kept there are accessible to all at the present and in the future.

Finally, in regards to consumer and community interest which are coherent with Principle 2, 3, and 7, adopting a standard provides social and economic benefits to its users by saving costs in operations because adopting a standard can enable interoperability, ensuring quality, safety, consistency, uniformity, reliability, economic efficiency beyond a national border. In Thailand, it is regularly said that a lack of sufficient financial support causes low quality of records and archival practices in the public sector. However, the existence of standards creates shared resources that can reduce costs in archival operations. For resource sharing, standardisation on an international scale becomes more and more necessary, especially during economic recession. Establishing consistency of practices by applying standards can prevent the archives from unnecessarily restricted practices when financial resources are low.

2.8.2 Risks of absence of standards implementation

In compliance with the aims of standardisation and principles of standardisation, there may be risks when practitioners do not implement standards in archival practices.

After consulting the literature relating to the research, in other sectors such as industry or the economy, it is not easy to imagine a world without standards because it seems that standards are well established in those sectors. The literature about standards implementation in other sectors, outside records and archives management, can provide lessons and give examples of what actually happens without standards or what might happen in the worst case if standards did not exist. For example, Thomas (2003, p. 66) used the wheel industry as a metaphor to express the situation when discussing the standards relating to microfilm, saying that without any standards people “would be free to create what they considered to be good wheels”. This statement supports the benefit of applying standards since the standard adoption offers product and procedural uniformity. As it is mentioned before, standards help provide harmony in information industry no matter it is within a country or between nations. Without standards, archives may not achieve the

ideal harmony and may have trouble when they need to collaborate with archives which have different practices.

A critical point to notice is a definition of 'what one considers to be good' (good practice or best practice) which is very subjective. It can depend on a person (e.g. a senior archivist in a department, a head of a department), a group of people (e.g. committee), or a community (e.g. archivist in specific region). The subjectivity of what is considered to be good may cause a problem because of how we judge what should be considered to be good for records and archives. Some may argue that international standards are created by just one group of people (the committee), but international standards provide a set of 'what is considered to be good' which comes from a systematic multi-stakeholder process. It consists of a panel of experts, a technical committee, even a public (for some consensus), so the level of subjectivity is reduced and the 'what is considered to be good' is judged by more than one person. Moreover, implementing standards reduces the level of risk of depending on the authority of only one person. For instance, if the practice of archives management in the organisation does not comply with any standard but was simply set up by one archivist who has limited skill and knowledge, how can it be sure that the practice in the organisation is good enough?

A second consequence of the absence of standards is to create a workforce free to work in the way anyone wants to. "Every time they decided to create a new kind of wheel, they would be free to do so (Thomas, 2003, p. 66)". Some may argue that autonomy to practice records and archival task is acceptable, especially for those who think they are not able to fit into any particular specification or rule. Also, some standards which are very vague, already offer a space for a practitioner to do what practitioners want anyway. It may be true that even when the practitioners apply the standard there is still a room left for them to choose, decide, and be flexible in particular circumstances. The difference between applying and not applying the standards is that the practitioners applying standardised work based on rational principles can use the flexibility and the freedom that the standard provides wisely. Practitioners do not practice their task arbitrarily like those who do not apply any principles or standards. Similarly, when thinking of an organisation that has high rate of staff turn-over, if there is no standard set as a rule or guidance, when a new person is in charge of setting the rule and has authority to do so, that person can change or even create new rules.

In summary, Chapter 2 examines the academic literature that enables readers to develop a comprehensive understanding of terminologies, theories, and practices of standards, standardisation and archival practices.

Chapter 3 Thai context for records and archives management

3.1 Introduction

This chapter extends the investigation of the various factors which have shaped archival practice at the NAT, by examining other factors beyond standards and standardisation (which are already discussed in Chapter 2). To provide an overview of the context of the recordkeeping domain in Thailand, this chapter discusses globalisation (as suggested by the ISO 9000 example in Chapter 2), the changing environment in terms of information technology leading to e-government, and the development of recordkeeping practice in Thailand (since the 13th century). Finally, it also discusses the legislation which sets the framework of and the boundary for recordkeeping in Thailand, especially the legislation that affects archival practice at the NAT.

3.2 Globalisation and its effects on Thailand

3.2.1 A brief history of Thailand in the world

It is interesting to question when Thai archivists first started thinking about improving archival practices, or when the NAT first became aware that their traditional practices, for example storing their records in a hall above a pond, were not valid anymore and that they needed operations that were more based on scientific principles. After consulting the literature it is clear that knowledge and technology came to Thailand derived from the western world thanks to globalisation. Consequently, this thesis needs to examine globalisation and its impact to see how it had changed the country in many aspects, including recordkeeping practice.

To explain about globalisation in Thailand, it is necessary to briefly discuss the political environment in order to see the broad picture of what has happened and of how national politics and global forces relate to each other. Since the author focuses on archival practices in more modern periods, the author only discusses the political context from the Rattanakosin era 1782 onwards, focusing on when globalisation emerged.

In 1826, the Burney Treaty was signed in Bangkok by King Nangklao Rama III (reigning from 1824 – 1851) of Siam (Thailand) and Henry Burney, an agent of

the British East India Company. In 1855, the Bowring treaty was signed between King Mongkut Rama IV (reigning from 1851 – 1868) and the British Empire to ensure that foreign powers would not intervene in Siam's internal affairs, and this allowed Siam to remain independent. Significantly, the Bowring Treaty led to changing economic development because it liberalised foreign trade in the country (Wedchayanon, 2012, p. 139).

During the Imperialism period, Siam was threatened by colonisation from both the British and French Empires, which led to bureaucratic change in the country. During 1875 – 1891, it was estimated that there were five million people in Siam and the economy of the country largely depended on agriculture. In 1888, King Chulalongkorn Rama V (reigning from 1868 – 1910) modernised Siam by introducing a new ministerial administration and in 1892 the official establishment of ministries was promulgated. During this period (1875 – 1891) the town-ruling system was replaced by the payroll system. It aimed to centralise power and the payroll system modernised the Thai bureaucracy (Wedchayanon, 2012, p. 125).

As a response to European colonialism in the 19th century, nationalism in Siam emerged and “the ruling elites as well as their critics and opponents shared the nationalist aspiration for modernisation and development, and anxiety in the face of colonialism” (Winichakul, 2008, p. 584). The process of modernisation for the country allowed western knowledge and technology to be customised, localised, and applied in society, including western concepts about the modern library, archives and museums, which were different from the traditional Thai concepts. “The West had always been considered desirable and threatening at the same time. Siam was known for its openness to foreigners and alien influences and its cosmopolitanism (Winichakul, 2008, pp. 585–586)”.

It is crucial to mention the Imperialism that came to the Southeast Asia region during this period when Siam modernised the country and fought against colonialism. Copeland (1993) argues that the establishment of the NAT was one product of the nationalism strategy of the Siam government.

It is the Jakkri dynasty as well which was ultimately redeemed through a process of modernisation and reform. This, we presume, was the reason why the Thai National Archives, the central repository for the records of the modern Thai state, began its collection in the late nineteenth century with the administrative reorganisation of the Fifth Reign court – a legislative effort which

eventually allowed for the renaissance of Jakkri absolutism in the aftermath of the court's disastrous confrontation with the French in 1893 (Copeland, 1993, p. 2).

In 1905, King Chulalongkorn Rama V issued the Slave Abolition Act and the Act ended Siamese slavery in all forms (Wedchayanon, 2012, p. 139) and he also abolished Sakdinar, the Thai system of feudalism, which had lasted for nearly 300 years (Kitiyadisai, 2005, p. 18). In the reign of King Vajiravudh Rama VI (reigning from 1910 – 1925), Siam moved further towards democracy. In 1917, Siam joined the Allied Powers and participated in World War I. Later, it faced an economic recession. In 1928, the Civil Service Act was issued to standardise the personnel administration of government officials in the public sector (Wedchayanon, 2012, p. 125). In 1929, there was a call for democracy and by that time there was a population of eleven million in Siam (Wedchayanon, 2012, p. 140).

In 1932, the Siamese Revolution changed the regime from an absolute monarchy to a democratic constitutional monarchy and, significantly, the first Constitution was granted to the Siam people (Wedchayanon, 2012, p. 140). During 1932 – 1986, the bureaucratic polity period, the political condition was not stable, with a number of coups d'état. It was estimated that 184 out of 237 high ranked positions (i.e. Prime Ministers and ministers) came from the military (government officials) (Wedchayanon, 2012, p. 140). Since the politicians and the government officials joined hands, it made the government officials more powerful. Consequently, the number of government officials and the number of bureaucracies proliferated (Wedchayanon, 2012, p. 126).

During World War II, Thailand officially adopted a position of neutrality until the country was invaded by Japan in December 1941 (Wedchayanon, 2012, p. 140). After World War II Thailand suffered from a severe global economic depression thus the government tried to alleviate poverty and income distribution imbalances by creating a National Economic and Social Development Plan. The first National Economic Development Plan was launched in 1961 (Thai Disabled Development Foundation, 2013).

In the post-world war era, international organisations were established e.g. UN, the World Bank, the IMF, the GATT, the WTO, the ISO, etc. Many international organisations played significant roles in the global economy (Aiyara, 2013, p. 16).

Thailand was a member country in many international organisations. By joining global organisations, western values and technology advancement entered and affected Thai society.

During the Cold War period, since economic development became a top priority, the country started to open up for foreign investments and the US involvement in Vietnam had a powerful influence on Thai society (Kitiyadisai, 2005, p. 20). Consequently, since the 1960s the remarkable growth of the Thai economy “brought about the expansion in urbanisation, industrialisation, an explosion in the demand for education, and an increase in professional and middle-class city dwellers, including the rapid growth of consumer culture”.

Another impetus supporting economic globalisation in the 20th century was the Information Technology revolution (Aiyara, 2013, p. 36). The emergence of computer, internet, and other methods of information sharing helped information transfer more quickly from one place to other places. The speed of information transfer became a new condition of capital mobility between nations thus the information technology revolution and transportation development connected every part of the economic world and enhanced the process of globalisation.

In the 1990s, after the end of the Cold War and the collapse of military rule, a major political trend was the opening of political space; “political movements for democracy had come of age, through the bloody experiences in 1973, 1976 and the successful overthrow of military dictatorship in 1992” (Kitiyadisai, 2005, p. 20). During 1987 – 1996, Thailand changed massively since the National Economic and Social Development Plans worked very well and the economy grew (Wedchayanon, 2012, p. 144). Globalisation and democracy had an impact on the private sector which expanded considerably, because globalisation and the concept of democracy forced the private sector in Thailand to adjust. The National Economic and Social Development Plans focusing on investment and the industrial sector reached their peak and expanded strongly compared to the previous 25 years. While the private sector flourished, 1987 – 1996 was called a period of “brain drain” crisis for the public sector. The personnel administration of the government remained centralised and slow to adapt and fit with the changing social and economic environment. Consequently, the public sector faced a crisis because the private sector offered pay well in excess of that in the public sector (Wedchayanon, 2012, p. 126). The

public sector had a crisis of insufficient numbers of employees, especially those who worked in scientific fields (Wedchayanon, 2012, p. 141).

During 1997 – 2010, the country faced two severe economic crises: the Tom Yum Kung crisis in 1997 (considered to be the most serious crisis ever) and the Hamburger crisis in 2009. The Tom Yum Kung 1997 crisis was resolved with financial assistance from the IMF helping to solve the national economic situation. As a condition of the letter of intent with the IMF, the public administration of the government was required to reform (Wedchayanon, 2012, p. 144). Prime Minister Chavalit Yongchaiyudh's government had to create the Public Sector Reform Master Plan 1997 – 2001. It was expected that this master plan was the solution to fix the infrastructure system in the Thai bureaucracy that had been highly centralised for a hundred years (Wedchayanon, 2012, p. 144). Also, the Tom Yum Kung crisis 1997 drove the private sector to participate in state governance to protect itself from the impacts of globalisation, whereas civil society pushed for more democratisation (Kitiyadisai, 2005, p. 20). The results of the financial collapse in 1997 and the strength of the democratic movement resulted in the passage of the Constitution in 1997 which allowed for more public participation in policy-making and provided mechanisms for good governance in the public sector. The 1997 Constitution was the first in Thailand which guaranteed the human rights, liberties, and fundamental rights of the citizen. Furthermore, in September 1997 the OIA was promulgated (Kitiyadisai, 2005, p. 21). In 2000s, a global trend in public sector management shifted from traditional bureaucratic governance to managerialism and market-based public administration (Chandarasorn, 2001, p. 100).

To conclude, globalisation has had an impact on Thailand in many ways and this is one reason why Thailand has been unable to continue its operations in the same traditional ways. It is impossible to run the country without being aware of what is happening in other countries. For example, it is clear in the documents produced by the OCSC that modern governments always take external factors into consideration when they make administrative policy because the country must compete with others in the global market and the country must develop and adjust itself to respond to the changing environment. Globalisation has affected the country in various areas as discussed in the following sections.

3.2.2 Globalisation's impact on the economy

Globalisation drove economic liberalisation under the general agreement on trade issued by the WTO and it demands economic institutions be more competitive (Yusof and Mokhtar, 2008, p. 76). The process of globalisation allowed supra-national organisations to influence the domestic economy in Thailand. There were two types of supra-national organisations concerned with this issue (Thanaphonphan, 1994a, p. 24). The first type are international organisations e.g. WTO, IMF, etc. The second type are multi-national companies e.g. Japanese companies that run businesses in Thailand and these multi-national companies introduced quality management standards and ISO standards to the private sector in Thailand (as mentioned in Chapter 2).

Globalisation impacted on the policy making process of government because the government had to take external factors into consideration. For instance, Thailand was a member country of the WTO, the international organisation developed from GATT. The WTO had the ultimate aim to facilitate economic globalisation by encouraging international integration of markets at a global level rather than focusing on a single national market in each member country (Aiyara, 2013, pp. 41–42). Hence, Thailand had to adjust its economic policy so that the country could penetrate the competitive worldwide market. International standards e.g. ISO 9000 were introduced to the country and implementing the international standards was expected to improve the operation of commercial organisations which were attempting to export their products and services to a global market.

3.2.3 Globalisation's impact on politics and the public sector

Globalisation has stimulated political change in Thailand. As a result of economic globalisation, capitalists have more participation and roles in government and political parties. The capitalists influence the policymaking process more than before. Moreover, globalisation has created pressure on politics by encouraging a process of decentralisation, even though the long-term political regime was in favour of centralisation (Thanaphonphan, 1994a, p. 24). The most extreme example of this trend was the change from an absolute monarchy to a democratic regime in the 1932 Siamese revolution. With the abolition of the absolute monarchy and the introduction of a democratic parliamentary system under a Constitution based on

freedom and equality, the concepts of liberal western values penetrated into Thai consciousness and culture (Kitiyadisai, 2005, p. 17).

In the post-cold war era, globalisation, economic expansion, and subsequent political disturbance changed the country to “a modern, industrialised and cosmopolitan outlook” (Kitiyadisai, 2005, p. 17). These examples reflect the influence of western values, as a result of the process of globalisation, on Thai politics and the public sector. The emergence of local archives was a part of the decentralisation process, which took place, although past research e.g. Srichantarani (2006) and Saichampa (2006) has shown that, in the mid-2000s, the level of people’s awareness about local archives was quite low and still had a long way to go.

3.2.4 Globalisation’s impact on IT

Apart from economic and political aspects, the process of globalisation was speeded up by technological integration. Geographical borders between countries were demolished by the invention of information technology as the world shrank in time and space. The frequency of changes was increased by the advancement of IT (Thanaphonphan, 1994a, p. 19) i.e. the obsolescence of a technological device happened more frequently as the devices were replaced by new technology.

Thailand brought technology from western countries and this technology had been progressively used in the public sector, private sector, and by citizens. Technology brought Thai society into the Information Age where information is one of the essential elements, needed for living. However, records and archives management, as an academic science that dealt with information, was not recognised as valuable in society. Although globalisation was speeded up by information technology, Thailand lacked a strategy to manage the increasing information derived from the operation of government. It is worrying if the government does not have an appropriate approach to manage information, since information technology may provide negative effects as well e.g. piracy of personal data. This topic is discussed in a later section about the legislation relating to recordkeeping.

3.2.5 Globalisation's impact on education

Globalisation also impacted on Thai education. Samutwanit (1994, p. 129) mentions that the founding of universities was a result of a process of westernisation in Thailand since universities, as institutions of teaching, contained the status of higher education where the concepts, knowledge, and values were taught by educators who were educated in western countries.

Furthermore, globalisation made one language dominant over other languages in the world. Consequently, non-English speaking countries acknowledged that learning the English language was necessary for those wishing to benefit from globalisation and international relationships (Thanaphonphan, 1994b, pp. 176-177). The Thai government was aware that if its citizens could not use English, as one of the universal languages, to communicate with foreigners, this could be an obstacle to the advancement of the country, especially when the new, modern, up-to-date technologies were invented and created by developed English speaking countries. The necessity of learning English changed the design of educational programmes since it meant that English language courses had to be included in the curriculum in schools and universities. Also there was a demand for educational institutions to provide English programmes in academic services (Thanaphonphan, 1994a, p. 25).

Some values and knowledge were adaptable with the local traditions, but some were in conflict with the existing values in society as is shown in Winichakul (2008)'s research which reveals that there was a concern among conservative people that globalisation might change the identity and consciousness of the Thai people:

Since the early 19th century ideas and technologies from the West were welcomed, although there were also anxieties about losing identity and independence. The strong reactions by Thai intellectuals across ideological camps against threats from the West were evident once again in the face of globalisation and particularly the 1997 economic crisis. As Reynolds has reported, Thai intellectuals were wary of globalisation. They saw a great opportunity to take a place among the rising economic stars in Asia, but they worried about losing the distinctiveness that makes Thai identity (Winichakul, 2008, pp. 585–586).

The author thinks globalisation may not be such a big threat to the Thai identity as some feared as it depends upon the ability of the people who accept the

changes and learn to adapt western knowledge and technology to fit with the local context. Moreover, since globalisation began in the 19th century, Thailand was already aware that Thailand was not the centre of the world so it must change and follow the leading countries in the world in order to survive and improve. For example, it is obvious that although the practices of records and archives management in Thailand started in the 13th century, the NAT in the modern day realised that the knowledge and skill that the practitioners had were not up-to-date, thus the archivists who were able to learn and use the English language were sent to study abroad to catch up with the knowledge and latest technology in this field. This reflects that Thailand knew there were other countries that had better and more advanced recordkeeping practices and that Thai archivists must learn from them to respond to the demand of users and the rapid changing environment.

3.2.6 Globalisation and archival professionals

Globalisation is one critical competency for information professionals in the 21st century stated the director of a Midwestern United States Library and Information school (Anderson et al., 2014, p. 2). For this Director, globalisation meant two things: an understanding of “the vast differences in cultural and economic realities” and “an awareness of the inter-connectedness of nations and peoples”. Globalisation provides a dual vision for information professionals to appreciate distinct communities and cultures and to recognise their interrelationship. Information professionals need to combine three competencies (globalisation, technology, and critical thinking) into one coherent vision to work in the 21st century. The coherent vision necessary for archivists in the 21st century leads to a demand for archival education to recognise national and cultural differences and foster shared areas of international interest. Similarly, Tammaro (2010, p. 29) mentions that the impetus for change in Library and Information Science education was derived from globalisation, information technology and economic necessity. Hence Information Science education must be delivered in response to the new working environment, new societal demands, and different traditional and emerging professional roles.

Coolsaet (2006, p. 2) explains that “the 21st century globalisation” was characterised by the emergence of new global challenges that defined Western political, cultural and economic domination. Globalisation went in waves and was not a constant process (Coolsaet, 2006, p. 1). Globalisation was characterised by

the presence of two dimensions. The first dimension was a physical dimension – the flattening of the globe and a compression of time and space. There were actors and driving forces that propelled globalisation e.g. individuals, companies, non-governmental organisations, states, capital markets, technology, ideas. These actors and forces flattened the world by enhancing interdependence. For example, revolutionary advances in technology, communication, trade and transport compressed time and space, provided new opportunities for communities, companies, countries, and individuals, and contributed to a common heritage for all those involved. The second dimension is a mental dimension which is an explicit awareness of the world shrinking with its opportunities and its risks.

In terms of records and archives management, some literature addressing how globalisation has impacted on the professions is as follows.

Leonce (2007, p. 118) describes globalisation as the term normally discussed in the context of economic globalisation which means the integration of economic activities across the world. Globalisation involves the unparalleled movement of goods, services, capital, technologies and people. Leonce (2007, pp. 118–119) also mentions the role of the ICA as a global organisation to promote global solidarity with respect to records and archives management. In this regard, globalisation means co-operation between groups/countries sharing common goals, setting up records and archives standards, and advances in the development of archives by co-operating with international organisations i.e. UNESCO. The ICA should equip the archival profession with tools and standards to respond to global changes.

In 2004, the report *Business Archives in International Comparison: Report to the ICA Congress 2004* said that business records appraisal was undertaken rather randomly and it was made “even worse” by the trends towards globalisation (Section for Business and Labour Archives, 2004, p. 47). Globalisation and internationalisation created legal, cultural and practical problems. Legal problems occurred if archival legislation differed in various countries. Cultural problems included linguistic problems, cultural responsibility, and different traditions of business culture. Practical problems involved accessibility, inventorying, and physical transfer.

In the case of Lithuania, Domarkas (2007, p. 108) discusses the implications of globalisation affecting archives and the worldwide development of archival science by four essential factors. The first factor was ICT implementation in administration affecting the way records were created, stored and accessed. The huge growth of information in different formats created by fast changing creators presented a serious challenge. The second factor was political development towards accountability and transparency. The third factor was the evolution of public administration towards quality of service and efficiency. The fourth factor was archival professional development. Domarkas (2007, pp. 108–109) points out that globalisation, changes in public policy, legislation, public administration, and growing use of ICT had affected professional standards and archival science since archival science went through a reconceptualisation. It provided a shift of archival theory from the passive (a focus on proper storage and preservation standards) to information access for the public.

Similarly, the paradigm shift of archival science is also addressed by Tale (2007, pp. 123–124) who points out that archivists need to build the bridges that enable them to accommodate the environmental changes, shifts in paradigm (e.g. expanding roles of archivists to be records managers in the Information Society) and globalisation (the world became a big global village where everyone played a part in the proper functioning of the village).

Due to globalisation and technology, archivists' roles changed as archivists had to learn to work in two parallel paths. The first path was to document in a national context and a cultural context. The second path was working in a "universal technological environment" where information and records were generated across nations, cultures, time and space (Anderson et al., 2014, p. 2). Furthermore, globalisation in the 2000s, which made changes worldwide, drove Thailand to reconsider its administration, re-engineer its government agencies, and encourage the Thai government to use IT and enforce e-government. Pipuannok (2005, pp. 5–7) points out that globalisation is a key factor that forced Thai archivists to adapt and improve their human resources (this will be discussed more in Chapter 4).

Globalisation is addressed here because it changed archival professional roles, adjusted concepts and practices, and made archivists learn to respond more to a changing environment and to serve users more effectively. Consequently, the

NAT tried to apply the international principles and concepts of records and archives management. The practitioners were aware of a big gap between the traditional knowledge and skills that they had and the modern advanced knowledge and technology in western countries, thus globalisation had an indirect impact to change archival practices in Thailand.

3.2.7 Conclusion

In conclusion, the development of economic, social, political, and technological aspects of Thailand in the past century has made the country learn and adapt continually according to environment and changes at local, regional and global level. In particular, the process of modernisation and westernisation whereby Thailand has adopted western values and technology in areas such as economics, politics, societies, and culture, has changed the country. Globalisation has connected every part of the world and we have all become part of a “global village” (Office of the Civil Service Commission, 2009, p. 1-14).

3.3 A changing Information Society

3.3.1 Information Society and its effects on archival professionals

Information is indispensable to the efficient performance of every organisation as accurate decision-making and accountability rely on the ability to create, access, and preserve authentic information (McInnes, 1998, p. 211). In an information society, information is accumulated in both paper and digital environments so it is necessary to develop strategies to manage both. The birth and growth of the information society has impacted on recordkeeping professionals as professionals deal with information directly and must be prepared to respond to the changes. Procter (2005, p. 57) has described three outcomes of the information society which recordkeeping professionals should take into consideration.

The first consequence was information and communication technologies affecting recordkeeping practices, especially in the digital environment where it required the archival professionals to re-evaluate records and archives management theory and practices. Archivists must think about how to maintain authenticity and reliability of records (Procter, 2005, p. 58), how to manage fragility of digital records, how to store, secure and access digital records whose life span could be

determined by technological obsolescence and storage media longevity (McInnes, 1998, p. 211). Hence, professionals must change how to manage records and how archival institutions should behave (Hofman, 2012, p. 26). The archival institutions' role was re-assessed as it transformed from physical repository to nodes for virtual archives that included records under archival control (which remained outside archival custody) (McInnes, 1998, p. 212).

The second outcome was the information access equation, with the democratic process accompanied with citizenship's promotion and inclusion (Procter, 2005, p. 57). Apart from the nature of the records affected by technology, technology also impacted on the way people and organisation in the information society communicated, functioned, and behaved. Trending elements e.g. open government, freedom of information, information security, social media, big data – all transformed roles of records and recordkeeping professionals through times (Hofman, 2012, p. 25). In Thailand, legislation was promulgated to grant citizen rights to access to information held by government agencies. This topic is discussed later in this chapter.

The third outcome was reforms of the public sector (Procter, 2005, p. 57), as shown later in this section that globalisation impacted on public sector reform in Thailand improving the country in many aspects, including how the government used information and communication technologies to run the national administration.

To establish an information-oriented society with healthy development of open government practices in governance, it needed to have good legal environment (Liangcheng, 2008, p. 96). Legislation could cover public records management, access to government information, information security to connecting information network. This means that legislation played an important role particularly in the environment where information was in paper and electronic format. It is time to question if Thailand has been an information-based society entirely as it claimed and how well Thailand had managed their public information for the sake of citizens in both paper and digital environment so far. Also it is critical to examine the role of Thai archivists, as information professionals, and their contribution to the information society.

3.3.2 Changing environment and its effects on archival professionals

Peterson (2011, p. 94) observes that since the late 1980s and early 1990s, archivists were forced to adopt transnational standards for recordkeeping practices because of four factors as follows.

The first factor was fast social change pushing archivists to confront issues relating to social and political aspect of managing archival collections. It drove archivists to re-consider what archivists should select and preserve (Peterson, 2011, p. 94).

The second factor was technological change. Since the late 1980s, computerisation of office communication put a new challenge to recordkeeping practices because computerisation created new issue relating to electronic records, but people trust in technology and computerisation was integrated in everyday life ever since (Nesmith, 2007, p. 2).

The third factor was the end of the Cold War which allowed archivists with different political ideologies to interact to each other freely. The fourth factor was the rapid advance of the internet. The internet offered archivists electronic equipment to create finding aids and share them widely. This also enabled international cooperation between archival institutions. In 1995 in particular, the ICA initiated standards for archival description and finding aids and these transnational standards had changed, regulated and standardised practices of description in many archives worldwide (Peterson, 2011, p. 94).

3.3.3 Public sector reform

Thai public sector reform was one of the outcomes of globalisation. This section about the public reform is included in this chapter because, firstly, the NAT was a government agency working under a ministry, so changes in the public sector derived from the reform also impacted on the administration and management of the NAT as a governmental organisation (more details are discussed in Chapter 4).

Secondly, in the process of public sector reform, Thai governments created standards for general management, although the standards were not particularly for records and archives management. This shows that Thai governments

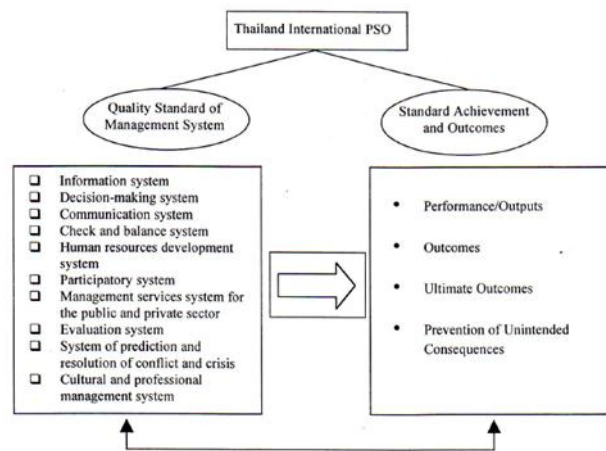
acknowledged that implementing standards was one solution to improve the quality of products and services. This is why it is worth mentioning about public sector reform in this study because it reflects how Thai governments had attitude towards standards and standards adoption at national level – how Thai governments perceived standards' importance.

In 1997, due to the severe financial crisis in Thailand, there was a call for public sector reform. The Committee on Enhancing Efficiency and Standard Performance developed a standard management system and outcomes for Thailand attempting to improve the public sector's operations and initiate best practices and good governance in public administration (Chandarasorn, 2001, p. 94). The call for public sector reform was also coherent and was responsive to the 1997 Constitution, in Article 75 presenting the fundamental public policy in enhancing efficiency of government services to fulfil needs and satisfaction of Thai citizens.

In 1998, on 27th October the Thailand International Public Service Standard Management System and Outcomes (PSO) was promulgated. It required all state agencies to develop PSO. The OCSC was assigned to be the governmental body responsible for PSO implementation (Benjasiri, 2004, p. 133). The government agencies must set up criteria, indicators and standard operations which guaranteed the outcomes and the achievement to meet the aspirational goals of PSO (Simananta and Aramkul, n.d., p. 12).

The performance of standard achievement outcomes comprised four elements; standard performance or outputs of a work unit, standard outcomes of a work unit, ultimate outcomes, and prevention system of unintended consequences (Benjasiri, 2004, p. 133). The PSO covered ten areas of management systems (as shown in Figure 3-1) which were: Information system (PSO 1101), Communication system (PSO 1102), Decision-making system (PSO 1103), Human resources development system (PSO 1104), Check and balance system (PSO1105), Participatory system (PSO 1106), Management services system for the public and private sector (PSO 1107), Evaluation system (PSO 1108), System of prediction and resolution of conflict and crisis (PSO 1109), Cultural and professional management system (PSO 1110).

Figure 3-1 Conceptual framework for Thailand PSO (Chandarasorn, 2001, p. 96)



The PSO attempted to measure quality, promptness, cost-effectiveness, and fairness in the public sector. The PSO was expected to boost the effectiveness of public administration, to focus on a high quality of government service delivery, citizen-based orientation, and performance-based operations (Simananta and Aramkul, n.d., p. 11). The Cabinet approved and adopted PSO. It was regarded as an innovative policy serving as guidelines for government agencies to develop their standard management systems because the PSO's ultimate goals were to enhance public interests, social equity, and equality in government services (Chandarasorn, 2001, p. 94). In theory, the development of performance standards within ten systems may produce a quality management system and then the quality management system may lead to an achievement of standard outcomes linked to ultimate outcomes of the public sector as a whole (Benjasiri, 2004, p. 134).

3.3.4 Analysis of the PSO implementation

The PSO, as a part of public sector reform, was an explicit result of globalisation phenomenon since the PSO was evidence that the trends on the global stage had an impact on Thailand. The external factors pushed the Thai government to change, as in the 1980s, according to Chandarasorn (2001, pp. 92–100), the world was dramatically changed as the global perspective was shifted from traditional bureaucratic administration into managerialism, entrepreneurial government, and market-based public administration, in the conventional main

stream of public sector administration. The new management paradigm impacted on the reform of the public sector in many countries.

Moreover, the changes were not only limited to management theories and models, but also policy implementation of the reform since Thailand was influenced by the global trends of public sector reform and the 1997 severe financial crisis was a powerful stimulator to change. In reality, Chandarasorn (2001, p. 100) shows, despite that Thailand gained lots of experience in its effort to reform and restructure public services before, the country still faced difficulties and many constraints when using the conventional approaches to tackle the problems. Consequently, the PSO was viewed as an alternative approach in attempt to reform the whole public sector management. That was why the PSO was designed and created to be a moderate and creative model which might improve Thai bureaucratic system. The literature review illustrates that the PSO was regarded as a practical tool to help the government officials (standards adopters) ensure that the quality of their outputs, outcomes and services was good and their activities did not have negative effects on the environments (Benjasiri, 2004, p. 140). The PSO quality process was expected as a “significant step on the road to total quality management”.

The PSO is addressed in this research because public sector reform also involved information management since the public reform might enable government officials to receive feedback with accurate data. The government operation would be outcome-oriented since the new management paradigm closely focused on results in terms of the quality of government services, effectiveness, efficiency, equality, and satisfaction of citizen. More importantly, government expected that the new management paradigm “should strengthen data exchange system with high accuracy and reliability for effective decision-making” (Chandarasorn, 2001, p. 93). Apart from the fact that the PSO also included information management in public sector, it is inevitable that the PSO and the general public sector reform affected the NAT because, as a government agency under the ministry, the NAT must adopt the policy and the PSO.

However, the PSO was not the best tool when it came to actual adoption. In 2001, although the PSO had strong policy support and high-level government support, during the PSO adoption process, it required ideological commitment, nationwide participation, continuous development mechanism, and institutional

support to strengthen capacities for effective performance, all of which were challenging. There was a lot of infrastructure needed to facilitate PSO adoption. To succeed in public reform by adopting the PSO, it was necessary to create an implementation model for PSO, to analyse factors determining success, to provide an academic forum at national and global levels to share knowledge and experiences among scholars and to strengthen cooperation among stakeholders concerning public sector reform (Chandarasorn, 2001, p. 100).

In 2004, Benjasiri (2004, p. 141) suggests that PSO, as a new tool, was “too early to put it into all public sectors and social organisations”. Her research findings show that many work units under the government agencies regarded the PSO as increased workload or burden when the concept of standard management systems was introduced. It required some time for the PSO to prove its benefits and results. Despite the previous efforts to reform or change the Thai bureaucratic system, the result of changes only happened in aspects of structure and bureaucratic process (Wedchayanon, 2012, p. 127) as the changes never clearly appeared in a dimension of behaviour or attitude of government officials (which was difficult to measure).

3.3.5 Accountability, standards, and recordkeeping practices

Accountability is a concept worth mentioning in this section because accountability underpins recordkeeping principles. It is one of the reasons why archivists keep records. Accountability is an important concept in archival management. The definitions and importance of accountability vary as follows.

Apart from moral aspects, accountability is “the process of being called ‘to account’ to some authority for one’s action, and to be ‘accountable’ is to be ‘answerable’” (Isa and Nordin, 2013, p. 31). Firstly, the Encyclopaedia of Archival Science understands the meaning of accountability by referring to the Oxford English Dictionary which defines accountability as “the quality of being accountable; liability to account for and answer for one’s conduct, performance of duties, etc. (Wilson, 2015, p. 3)”. People usually perceive accountability as a concept about ethics, but accountability covers more than moral aspects as it includes as well answering to a higher authority, public expectations, the morality of government, etc. (Kenosi, 2012, p. 135). To make accountability processes work efficiently, it requires records to be an evidence of answerability about what was done by which person

and for what reason. To fight corruption, records are used for investigations and lawsuits concerning crime and corruption. At small scale, daily, people view records as evidence for accountability and at a bigger scale accountability links to governance. This can refer to a wide spectrum of expectations from the citizens towards the government's morality, responsiveness, and performance of the organisations (Kenosi, 2012, p. 136).

Secondly, accountability is more than a link between governors and the governed for effective democracy, it also implies a system that guarantees the governors are accountable to the governed. Nowadays, transparency is a global concern. The governors must manifest accountability to the governed (Isa and Nordin, 2013, pp. 30–31). Hence records are a crucial part in government's accountability for maintenance of transparent democracies, for effective creation and execution of policies, and for information access of citizens (Shepherd, 2006, p. 11). Open access to public records with specific restrictions (with passage of time to protect privacy) to guarantee transparency is how a democratic society is supposed to be. The heart of accountability of government is indeed in reliable recordkeeping systems and appropriate access to public records (Waiser, 2014, p. 163). In contrast, poor recordkeeping practices result in organisational inefficiencies and weaken accountability because the mechanisms of government accountability (audits, investigation, reviews, and inquiries) cannot work without proper recordkeeping (Pearson, 2008, p. 39).

Thirdly, the international standards concerning records and archives management also emphasise the concept of accountability. For instance, the ISO 15489 defines accountability as “the principle that individuals, organisations, and the community were responsible for their actions and might be required to explain them to others” (Kenosi, 2012, p. 137). The definition underlines that accountability relies on the provision of authentic and reliable records. The records created by organisations play an information role (to justify and document the decision-making process), monitoring role, and political role (information control served as a source of power and influence). Hence the recordkeeping system should “preserve records integrity and authenticity, guaranteeing the accuracy, reliability and comprehensiveness of the information they contained” (Maurel and Chebbi, 2013, p. 19) so the organisation can trace back the actions and decisions within its own personnel. Maurel and Chebbi (2013, p. 19) suggest that accountability should be a

framework to specify standards for records and archives management. Apart from being part of a legal and regulatory framework, accountability should be taken into account existing standards i.e. the ISO standards for information and documentation.

In terms of records and archives management, as far back as the archival manual of Muller, Feith and Fruin (1898), and of Jenkinson (1922) state that the work of the archival professionals is to preserve the value of the records as evidence of activity (Wilson, 2015, p. 4). This means that the concept of accountability is also implied since the earlier and fundamental writings of the discipline. Hence to support accountability, the recordkeeping system should ensure the creation of adequate records; the records must also have adequate content, contextual and structural metadata to be self-evident after the activities happened (Isa and Nordin, 2013, p. 31). The records should make any particular transaction comprehensible meanwhile the recordkeeping system should be designed to ensure the records capture the data, maintain themselves and be accessible to over time. In a democratic society, accountability is indispensable and recordkeeping is a key to the governance accountability. However, the question arises about how the NAT identifies its role to establish proper recordkeeping practices to facilitate and support governance in Thai society. After consulting literature, the author rarely sees any publication that addresses concept of accountability of government and the position of the NAT as a part of wide mechanism to help Thailand achieve transparency.

Additionally, when discussing accountability and transparency in Thailand, it is unavoidable to address issues of corruption which is regarded as the opposite of accountability and transparency, but these terms are in fact inter-related. The literature review reveals that Thailand had an effort to fight corruption for a long time and there were government agencies particularly set up to combat corruption in the public sector. There was a call for the private sector to establish good governance as well. In this case, good governance involved efficient services, transparency, fairness, rule of law, and accountability. In 1997, corruption in the government reached its peak and the government finally decided to take actions against this issue seriously at national level. As previously mentioned in 3.2, in July 1997 Thailand faced an economic crisis which resulted from a financial liberalisation policy – the government's failed ambition to become the East Asian Miracle and a rapid but unstable economic growth in public and private sector (Office of the Civil

Service Commission, 2015b, p. summary-1). The pressure from the IMF forced Thai bureaucracy to reform. To carry out the public sector reform, a committee was set up, although it was criticised as the reform seemed to focus on the sub-problems in the government system or partial governmental bodies rather than the overall bureaucratic system (Wedchayanon, 2013, pp. 7–8). Thai government prioritised the good governance and effective public administration thus the cabinet approved of the Public Reform Masterplan 1997 – 2001 (Office of the Civil Service Commission, 2015b, p. summary-1). The Tom Yum Kung crisis of 1997 is a good example to show that governance without transparency and accountability could lead to disaster. Reform was carried out as a solution to fix the problems and one of the strategies was to establish a proper system with more accountability and transparency.

3.3.6 Transparency, corruption, and recordkeeping practices in Thailand

In 1999, Ch'ng (1999) studied Government Information and Official Publications (GIOPs) development, accessibility, availability and transparency of ten countries in Southeast Asia which were the country members of ASEAN (the Association of Southeast Asian Nations established since 1967). The ten countries were Brunei, Cambodia, Indonesia, Laos, Malaysia, Myanmar, the Philippines, Singapore, Thailand and Vietnam. They were very diverse in economic, political, and social developments that they spanned the spectrum (as defined by the UN's Human Development Index) of underdeveloped, developing, and developed in this region. By 1999, Brunei, Indonesia, Malaysia, the Philippines, Singapore, and Thailand had legal provision for the deposit of GIOPs at their national libraries and/or national archives, but Ch'ng (1999) notes that these countries did not have comprehensive national policy for archival preservation. By that time, GIOPs were mainly on printed sources, with little or no mention of electronic sources.

In terms of the use of IT application in GIOPs, Malaysia, the Philippines, Singapore, and Thailand advanced with GIOP programmes at different levels, speed, depth, policy orientation, development and implementation. However, what these countries shared was the vision for future opportunities offered by IT developments because they were all aware that in the 21st century, the nation's competitive edge would depend on open economy supported by information and knowledge-based society. IT was a necessary strategic tool to stimulate economic growth (Ch'ng, 1999) meaning that government information must be available,

therefore; the governments must communicate with people and enhance the right of access to data to citizens.

Similar to the discussion about globalisation in this chapter, Ch'ng (1999) concluded that globalisation, democratisation, open economic development, growth of civil society would contribute to better quality GIOPs in the region. Particularly, the globalisation of every facet of human activity was accompanied by the pervasive force of IT and the GIOPs in ASEAN would be more accessible and available. Especially for Thailand, the country's Western-style democracy would make GIOPs more accessible and available with its Freedom of Information law.

Additionally, in 2000 there was a nationwide survey carried out and based on a questionnaire survey of 4,013 households across Thailand. The design of the questionnaire was adapted from the World Bank questionnaire, used by many countries (Phongpaichit et al., 2000, p. 12). The findings of the report showed that the heads of households in Thailand ranked poor economy, cost-of-living, corruption in public sector, and drugs as the top four serious national problems respectively. The respondents believed that corruption in public sector was getting worse, especially among the politicians who were more corrupt than bureaucrats. In the findings the police and MPs were rated the least honest, followed by Ministry of Interior, and Department of Customs, among the public agencies. In terms of the quality of public services, the customs, the police, and the land offices were rated lowest (Phongpaichit et al., 2000, p. 6). Furthermore, the survey respondents thought the government should prioritise combating corruption. Significantly, the findings showed that respondents were not sure about the channels to report corruption. Respondents were reluctant to report corruption cases because respondents feared reprisals and were not certain whether reporting the case would be of any use (Phongpaichit et al., 2000, p. 7). This survey reveals that corruption was Thailand's critical problem reflecting that Thailand had low accountability and transparency in governance by 2000.

In the West, records are important for accountability either in small- or large-scale events that shaped the society. Records are used daily in the global press supporting lawsuits and investigations into fraud, theft, and corruption (Kenosi, 2012, p. 141). In Thailand the literature review indicates that Thailand tackled the problems relating to corruption through moral approaches rather than sustaining the

practical mechanisms that might prevent or reduce the corruption in governance. Wedchayanon (2013, p. 6) suggests that one method to build trust and accountability across the government should be mission-driven organisations. The government officials should have capabilities, knowledge, and skills to create and deliver valuable products and services to the public. One of the important elements to build trust is “to improve the quality and moral standards” of government officials. There is nothing wrong with Wedchayanon (2013)’s suggestion, but the author questions whether the moral standards can actually build trust and accountability in the long run. If so, which level of accountability can be built into the government officials through moral standards?

Trust is a vital element to an effective functioning of modern societies (Flinn and Shepherd, 2011, p. 170). In an archival perspective, trust is related to public faith, depending on an ability to demonstrate that records are what they intend to be (authenticity) and free from corruption (reliability) (Sexton et al., 2017, p. 309). Hence building public trust in authenticity and reliability of records depends on whether the records have appropriate conditions of custody (trusted repository and trusted custodian). While the West encourages recordkeeping systems that meet legal, ethical, and political requirements, after conducting literature review, the author rarely finds Thai literature which addresses recordkeeping system in the strategies to increase accountability and transparency in Thailand. Perhaps records and archives were not widely recognised by the majority of Thai people. Although the NAT was established since 1952, the archives were only perceived as historical documents for research. The records should be more acknowledged as evidence to justify and document the activities for investigations to support accountability and transparency and to reduce corruption in governance.

Ironically, when the government started to introduce e-government in Thailand, e-government aimed to serve as a tool to reform or improve the public services by increasing efficiency, effectiveness, and transparency. Surprisingly, the government operations, based on traditional paper environment, did not run a good recordkeeping system at adequate level which could help to reduce corruption, a long standing issue in the public sector. In contrast, when the government wished to shift from paper-based environment to digital environment, the e-government programme included increasing transparency as one of its goals. Even in the digital age, the government viewed ICT as the sole tool to tackle corruption instead of

being aware that the better way to solve the issue was to support and sustain the good information (both paper or electronic records) management in the government agencies, so the monitoring and audit bodies could use that information to investigate the government operations properly and effectively.

Furthermore, building trust, accountability, and transparency are criteria of sustainability in the Thai public sector. Wedchayanon (2013) shows there were major changes in the way the governments ran the administration since 1990s. The government cut red tape and put an effort to be more transparent in response to the public, but the reforms did not change the culture and the behaviour in the long term (Wedchayanon, 2013, p. 6). It is critical to note that transparency was not only a willingness to disclose the information since being transparent also included guaranteeing that government services stayed accessible and the government became more attentive and responsive to the citizens' needs by allowing the public to engage in decision-making process.

In summary, this section addresses accountability, transparency, good governance, and effective recordkeeping at national and international levels because these are concepts that encapsulated in legislation and standards concerning archival practices (Procter, 2005, p. 59) which are the focus of this thesis. The concepts of accountability, transparency, and anti-corruption in the Thai public sector, also linking to the universal concept of recordkeeping, are closely associated in Westernised democratic society. In Thailand, however, the efforts to stop corruption did not prioritise an effective information system as part of the mechanism to fight against corruption.

More importantly, according to literature review, there was rarely any research or reports about the government addressing the NAT and its role to combat corruption in the public sector. The only literature that mentioned and discussed the role of the NAT to support accountability and transparency was that written by those working in records and archives professions, especially those who consulted foreign texts as they knew that there was a link between records, archives, accountability, transparency, and good governance and that these concepts underpinned records and archives practices.

3.3.7 E-government in Thailand

E-government in Thailand is discussed in this section because the author thinks that e-government has influenced the recordkeeping practices in the public sector vastly and NAT archivists should take e-government into consideration when planning strategy for keeping public records of the nation. Electronic government refers to “an innovative attempt to take advantage of ICTs to facilitate the citizens’ access to government information and services in order to support social, economic and political development and provide an avenue for the public to interact with government institutions and processes in a democratic, transparent and equitable way” (Ngulube, 2010, p. 184).

In an information society, it is impossible for the public sector not to use ICT to operate and run the country. For data and information from e-government, the question is who should manage them and how well Thailand has managed them so far. Although the condition of e-government in Thailand cannot be easily labelled as success or failure because it is progressing slowly, it is apparent that the NAT has rarely participated in e-government.

After consulting the literature, it is obvious that e-government in Thailand is not regarded as a topic relating to records and archives management, but it is viewed as related to information and data management instead.

In 1963, an initial computerisation stage in the Thai public sector started when two mainframe computer systems were installed for processing census data at the National Statistics Office, and for educational programs at the Faculty of Commerce and Accounting, Chulalongkorn University (Lorsuwannarat, 2006, p. 7). Later, computerisation in public sector was established and expanded. At this early computerisation stage, information processing was highly centralised in the public sector. At that time, the government agencies sent the official data to the National Statistics Office for processing, but eventually the centralised processing systems were not capable of responding efficiently to the increasing demands of government agencies. As a result, many government agencies decided to set up their own computer centres at the departmental or ministerial level instead.

For e-government initiatives in Thailand, it could be dated back to 1992 when the government started to promote ICT adoption, aiming at enabling national

economic and social development and strengthening competitiveness for Thailand (Vinasandhi, 2012, p. 2). In 1992, the government set up a National Information Technology Committee (NITC) as a high-level policy body chaired by the Prime Minister. The members of the NITC consisted of executives from relevant public and private sector bodies (Thuvasethakul and Koanantakool, 2002, p. 1). The NITC acted as the central IT agency of the government whereas the National Electronics and Computer Technology Center (NECTEC) served as secretariat of the NITC (Lorsuwannarat, 2006, p. 8). The NITC mandate was to develop policies and plans to promote Information Communication Technology development and its utilisation in Thailand (Vinasandhi, 2012, p. 2).

In 1996, the NITC announced the first National IT policy named “IT2000” which was endorsed by the Cabinet. The IT2000 policy covered 1996-2000. IT2000 put forward the vision for Thailand to properly exploit Information Technology to achieve economic prosperity and social equity (Thuvasethakul and Koanantakool, 2002, p. 1). It focused on three agendas; to build an equitable information infrastructure at national level; to invest in citizens to build a literate populace and an adequate technology human resource base; to achieve good governance through the use of IT in delivering public services and in government administration (Vinasandhi, 2012, p. 2). The concept of three pillars (which were better telecommunications and networking infrastructures, the necessity to improve intellectual skills of workers, and good governance) strongly encouraged the public sector at all levels to adopt IT into their operation, develop information networks and databases for their work and for public (Ch’ng, 1999). The IT2000 policy required each government agency to create master plans to implement the IT2000 policy and to correspond with its direction. Following Thailand’s IT 2000 policy which served as a framework and guideline for subsequent IT policies and initiatives during 1996 – 2000, ICT changed tremendously in respect of technological advancement and its widespread application to many sectors of the national economy (Thuvasethakul and Koanantakool, 2002, p. 3).

Past research showed that many development programs were achieved as planned. Examples of government plans to initiate development programmes achieved under the IT2000 policy were (Thuvasethakul and Koanantakool, 2002, p. 2), for example, the National Internet Exchange Points - where all domestic Internet traffic was exchanged without going out of Thailand, Schoolnet Thailand - a national

program empowering all schools to access a large pool of information resources using the Internet, Government Information Network - a government backbone network to facilitate intra-agencies communication and inter-agencies communication and information exchanges, and Development of legal infrastructure by introducing new laws to support the application of ICT in Thailand. In contrast, there were others which did not progress so quickly, in particular, those relating to human resources. The economic recession led to a decline in government investment in Information Communication (Vinasandhi, 2012, p. 2). Also, Ch'ng (1999) found that most government websites were informational, only provided organisational outlines, staff directories, and summaries of organisational activities. They were not connected and non-interactive.

In 1997, The Government Information Technology Services (GTIS) was founded under the supervision of the NSTDA under the Science and Technology Ministry. The GTIS was responsible for providing various government agencies with management and development of networking services, including consultancy services about information technology (Electronic Government Agency, 2016). The Thai government in 1997 approved a large budget of 4.2 billion Bahts (US\$335 million) for national development (Ch'ng, 1999)

Over the past few years, the Thai public sector faced many problems of ICT application such as fragility of data communication, inefficiency of network management and inadequate numbers of technical personnel across the country. Moreover, the data file formats and software programs were not in compliance with the required standards, as a result, they could not be used mutually and efficiently between different ministries. The government agencies tried to fix the problems by developing data networks based on personalised standards and requirements which turned out to be low speed networks because of budgetary constraints (Electronic Government Agency, 2016). The GTIS was set up to be a central unit to provide efficient services for data networking and information technology for the public sector.

Since the early 1990s although an economic crisis slowed down the speed of advancement, Thai government started to incorporate IT applications into intra-departmental communication network, including keeping and disseminating government information and official publications (Ch'ng, 1999).

In 2001, the phenomenon that happened in the international arena e.g. the creation of new non-tariff barriers, borderless commerce, and globalisation, also had effects on Thailand. Despite that the principles of the IT2000 policy still prevailed to a certain extent, rapid changes from external factors outside the country made the NITC aware of a necessity to have a second phrase of national IT policy for the country to move forward into the next wave of digital economy (Ateetana, 2001, p. 8). Moreover, the economy and society in Thailand itself had changed enormously as a result of the financial crisis in 1997 (Thuvasethakul and Koanantakool, 2002, pp. 3-4) thus the government released the second IT2010 policy covering 2001-2010. The IT2010 policy incorporated elements of the Ninth National Economic and Social Development Plan 2002 – 2006. The policy emphasised the utilisation of information technology which would give Thailand sustainable knowledge-based economy and society. The IT2010 policy defined five main flagships to achieve its goals. The first goal was e-society covering issues e.g. the digital divide, quality of life, health, culture, and public participation. The second goal was e-education, including lifelong learning, computer literacy, human resource development, virtual education, etc. The third goal was e-government, involving public services via electronic service delivery, employment and legal infrastructure. The fourth goal was e-commerce focusing on e-services covering finance, tourism, IT service, and other industries. The fifth goal was e-industry focusing on e-manufacturing and IT-related industries, plus issues of standardisation (Ateetana, 2001, pp. 9–10).

In 2001, apart from the RMOS (the regulation requiring the government agencies to manage classified official information), the Electronic Transactions Act B.E.2544 (2001) was enacted. The ETA 2001 defined the legal status of all types of information “whether expressed in form of a letter, number, sound or image or electronic records, including a person’s electronic signature, and provides the procedures for managing records that are created, sent, received, stored or otherwise processed through electronic means” (Vinasandhi, 2015, p. 1).

From 2001 – 2006, Thaksin Shinawatra’s government pushed the public sector to implement e-government and to support e-government, the government formulated the Information Communication Technology Master Plan (2002-2006). After that, many e-government initiatives and programs were launched with an attempt to change Thailand to become a country with e-industry, e-commerce, e-education, and e-society. The government spent a lot of public money on these

projects, expected to have a big impact to the public services and the citizens (Lorsuwannarat, 2006, p. 4). In that report, it was found that during 2001-2006, approximately 90,000 million Bahts (about 2,500 million US dollars) were spent on e-government projects (Lorsuwannarat, 2006, pp. 8–9).

In 2002, the government established the Ministry of Information and Communication Technology (MICT) as the champion for affairs concerning ICT in the country. The primary task of the ICT ministry was to convert IT policies into actions and practices (Ministry of Digital Economy and Society, 2013). In 2002, the public sector was reformed (Office of the Civil Service Commission, 2009, p. 3-1). Thaksin Shinawatra's government established strategic public administration, implemented performance assessment based on documentation, supported local administration integrity, issued the Royal Decree on the Criteria and Method of Good Governance B.E. 2546 (2003), and improved the quality of government services by reducing the processes of operation. During this government, Thailand had high political stability thus the public sector reform was carried out seriously and effectively (Office of the Civil Service Commission, 2009, p. 3-4).

Moreover, one of many reform activities adopted was the method of results-based budgeting. Each government agency received the public budget based on the excellence of the performance assessment. The government introduced results-based budgeting in order that the public budgeting system complied with the national development policies and strategies, expected to produce benefits for the citizens. Also, the reform government built fast working systems and specific government officials were assigned to a particular task. Their salary depended on performance based incentives (Office of the Civil Service Commission, 2009, p. 3-5).

In 2003, NITC was re-engineered and it became the National Committee on Information and Communication and Technology (NCICT). The NCICT included representatives from the ICT Ministry. The NCICT continued the same responsibility as the former NITC for drafting national policies. There were various subcommittees of NCICT who worked on, for examples, drafting electronic transaction and computer crime legislations, utilisation of ICT in public sector, human resource development, digital divide issues, and Internet policy (Vinasandhi, 2012, p. 2). From 2003 – 2007, the government implemented e-government e.g. E-Citizen

Service, One Stop Service, etc. The government also used a Government Fiscal Management Information System (Office of the Civil Service Commission, 2009, p. 3-20).

In 2005, the Regulation of the Prime Minister's Office on Records Management 1983 was amended and information added to support electronic transactions. Consequently, the Regulation of the Prime Minister's Office on Records Management second and additional version 2005 included the definition of the terms "electronics" and "electronic recordkeeping system" (Vinasandhi, 2015, p. 2).

In 2008, the government decreed a second Electronic Transactions Act B.E. 2551. The new Act expanded and added more information on "electronic stamp duties, corporate seals, published electronic data and guidance on assessing the evidential weight of electronic data to determine whether it was reliable or not, the method by which the electronic data was generated, stored or communicated, the manner in which the completeness and integrity of the information was maintained and the manner in which the originator was identified or indicated, including all the relevant circumstances that were to be considered (Vinasandhi, 2015, p. 2). The ETA 2008 was significant because previously digital signatures were not recognised by the law. In some cases digital signatures did not have integrity in the same way as their paper-based counterparts (Ngulube, 2010, p. 190).

In 2008, the government announced the national administration plan to the parliament. It included the major issues of the development of communication networks and telecommunication infrastructures with a nationwide coverage. The Ministry of Information and Communication Technology planned to establish a policy framework called ICT 2020 for 2011-2020. ICT 2020 aimed to support the Second Thailand Information and Communication Technology Master Plan in the long run. ICT 2020 was expected to transform the nation into "a country of information technology and communication excellence supported by modern management, enhanced competitiveness, and inherent equality of government-based services, which could significantly be obtained from certain information technology and communication tools and electronic media" (Electronic Government Agency, 2016).

In 2011, the government set up the Electronic Government Agency (Public Organization) (EGA), under the supervision of the Ministry of Information and Communication Technology. The EGA was responsible for managing the structural information systems of e-government, providing consultancy services for public sector, etc. in order that the government could achieve the ICT 2020 policy with a substantial outcome and highly benefits (Electronic Government Agency, 2016).

3.3.8 Why adopt e-government

According to theory, e-government democratises access to information and increases the citizen's participation in the democratic process. It also improves public service delivery. There are benefits of e-government. Apart from "the possibility of increasing honesty, efficiency and effectiveness, justice, equity, accountability and participatory democracy in the interaction between the government and the citizens" (Ngulube, 2010, p. 188), in many countries, e-government initiatives programs are part of broader public sector reform to improve government performance in delivering public services to citizens and in increasing efficiency (Nengomasha, 2012, p. 95).

In Thailand, the government has adopted an e-government strategy to reform the public sector in 2002. On 1st October 2002 the Cabinet in Thaksin Shinawatra's government decided that every department and state enterprise must procure through e-action and report the procurement implementation process to the Office of Prime Minister every three months. The e-auction's objectives were to improve the public sector's procurement process, to prevent collusion and corruption, to increase efficiency, to reduce procurement cost, and to stimulate the economy and investment (Lorsuwannarat, 2006, p. 9). In 2012, it is found that although e-government aimed to reduce time, cost, work processes in public services and to support the government administration, the main issue of e-services was a lack of cooperation among the government agencies and lack of systematic mechanism which encouraged the collaboration between the agencies (Vinasandhi, 2012, p. 4).

3.3.9 Levels of readiness for e-government adoption

The readiness of countries to implement e-government depends on a number of factors e.g. mature technical infrastructures in various government

agencies, having legal frameworks that fostered public confidence and supporting a government mandate to conduct transactions online. It also depends on political commitment from government champions and managers, who are willing to reengineer public service, share information, and treat citizens as customers. More importantly, the readiness depends on the presence of many public internet access points, and demanding, aware citizenry that understands its rights and is willing to express its rights and to fight for them in cases of laxity and inefficiency (Nengomasha, 2012, p. 98).

Despite the infrastructures at national level, the main question is how people can recognise that a country has adopted e-government. Ngulube (2010, p. 186) asks “can we comfortably say that e-government has arrived in Africa as some scholars have led us to believe?”. When people talk about e-government everywhere, it does not mean that it already exists in reality. Based on the four stages in the development of e-government, the examples of several African countries provide an overview of levels of e-government adoption which can be categorised as four types (Nengomasha, 2012, p. 97): publication of information only, passive interaction (transactions can be initiated but cannot be completed electronically), active interaction (citizens and government can complete basic transactions electronically), and seamless e-government (citizens and government obtain optimal value from their electronic interaction).

In fact, it is not easy to conclude which level of e-government adoption is in Thailand because there is a big gap between the government agencies in the public sector that adopted the e-government. Some agencies can provide e-transactions to the citizen properly, but a majority of government organisations can only publish their official website but cannot provide any e-services to the people as it should.

3.3.10 E-Government Development Index (EGDI)

In 2017, the EGDI revealed the state of e-government development of UN member states. The EGDI incorporated access characteristics, e.g. the infrastructure and educational levels, along with an evaluation of the website development patterns in a country to reflect how a member country used information technologies to promote access and inclusion of its citizens. The EGDI was a composite measure of three significant dimensions of e-government which were

provision of online services, telecommunication connectivity and human capacity (United Nations, 2017a).

Apart from EGDl, there was E-Participation Index (EPI). As mentioned above, the readiness of a country to implement e-government also depended on “demanding, aware citizenry that understands its rights” (Nengomasha, 2012, p. 97). The principle of E-Participation Index of the UN supported this idea since it promoted citizen’s participation as the cornerstone of socially inclusive governance (United Nations, 2017b).

The framework of EPI comprised of e-information (enabling participation by providing citizens with public information and access to information without or upon demand), e-consultation (engaging citizens in contributions to and deliberation on public policies and services), and e-decision-making (empowering citizens through co-design of policy option and co-production of service components and delivery modalities). The basis of the EGDl was the UN E-Government Survey 2008: from e-government to connected governance. Four indicators are used in the survey i.e. infrastructure index, human capital index, e-participation index, and web measurement index (Office of the Civil Service Commission, 2009, pp. 1–112 - 1-113).

Figure 3-2 The country profile 2016 (United Nations, 2017c)

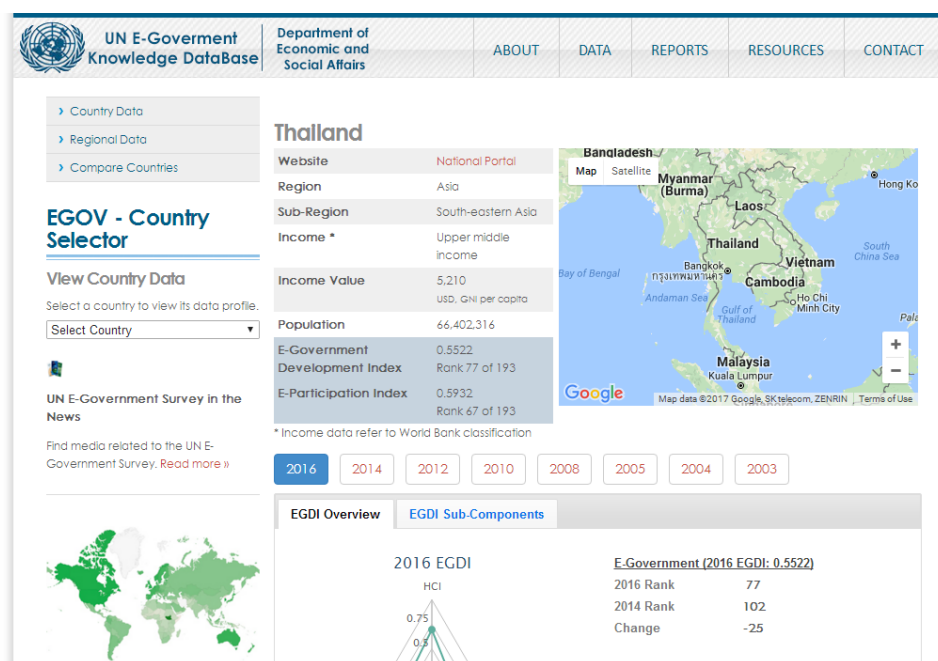


Table 3-1 EGDl of the United Nations E-Government Survey 2016

Rank	Country	EGDI Level	EGDI	Online Service Component	Telecomm. Infrastructure Component	Human Capital Component
139	Tajikistan	Medium	0.3366	0.1232	0.1866	0.7001
77	Thailand	High	0.5522	0.5507	0.4117	0.6942
69	The former Yugoslav Republic of Macedonia	High	0.5885	0.6087	0.4693	0.6877
160	Timor-Leste	Medium	0.2582	0.2174	0.0728	0.4843
147	Togo	Medium	0.3096	0.3188	0.1044	0.5056
105	Tonga	Medium	0.4700	0.3696	0.2302	0.8102
70	Trinidad and Tobago	High	0.5780	0.5290	0.4973	0.7077
72	Tunisia	High	0.5682	0.7174	0.3476	0.6397

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Data tables

DATA TABLES

Table 2. E-Government Development Index (EGDI) (continued)

Rank	Country	EGDI Level	EGDI	Online Service Component	Telecomm. Infrastructure Component	Human Capital Component
68	Turkey	High	0.5900	0.6014	0.3775	0.7910
140	Turkmenistan	Medium	0.3337	0.0870	0.2559	0.6583
151	Tuvalu	Medium	0.2950	0.0217	0.1981	0.6651
128	Uganda	Medium	0.3599	0.5000	0.1129	0.4668
62	Ukraine	High	0.6076	0.5870	0.3968	0.8390
29	United Arab Emirates	Very high	0.7515	0.8913	0.6881	0.6752
1	United Kingdom of Great	Very high	0.9193	1.0000	0.8177	0.9402

The country profile and the EGDl of the UN E-Government Survey 2016 reveal that Thailand ranked 77 from 193 member states. For the EPI Thailand ranked 67 from 193 member states and had 0.5932 point, shown in Figure 3-2.

By 2009, Thailand had developed to a certain point where people could find the official websites of all public sectors. The survey of the Ministry of Information and Communication Technology showed that many official websites of government agencies provided information about public services to citizens. The website appearances were impressive, but their content was not updated frequently. Thai people used e-mails and web boards to communicate with the officials, but the questions asked by people were not responded to quickly (Office of the Civil Service Commission, 2009, 1-114–1-115). In contrast, some government agencies provided good and fast services to the users as follows;

- E-Revenue - the electronic services to collect income tax and consumption tax. E-Revenue is built by the Revenue Department (one of the three tax collection agencies under the Ministry of Finance).
- www.khon thai.com – the website of the Department of Provincial Administration under the Ministry of Interior, allowed online registration of births, changing names, households, marriages, deaths, etc. The database of the Department of Provincial Administration linked and co-operated with

other 53 agencies e.g. the Royal Thai Police, the Ministry of Public Health, the Ministry of Education, the Social Security Office, the Department of Land Transport, the Royal Thai Embassies, etc. to provide a broader range of public services.

- www.ecitizen.go.th – the website serves as the eCitizen portal run by Ministry of Information and Communication Technology to integrate all public services under e-government in the public sector.

3.3.11 Analysis of the approach to e-government in Thailand and its issues

From the literature review, the author thinks that e-government itself did not create the problem, but the problem was an approach of government to e-government at national level.

Due to the fact that technical approaches impacted on directing e-government policy, the e-government initiatives projects were focused on advanced technology, but government paid insufficient attention to the behaviour of users (government officials and citizens) and social circumstances. In other words, the e-government projects in Thailand were influenced by modernised technology rather than the real demand of the public (Lorsuwannarat, 2006, p. 15). The technical approach of the Thai government suggests that the only answer for the government and Thailand was information technology, since information technology was expected to help increase efficiency, transparency, and good governance in the public sector. This was a trap because in fact information technology was only a tool and depended on how the policy makers used it. There were other factors which should be considered as well e.g. politics, economy, social structure, people/users' behaviour, culture (Lorsuwannarat, 2006, p. 16).

Another trap was the definition of e-government itself which sometimes restricted e-government to internet-enabled applications that delivered information and government service. The definition implied that e-government was restricted to online or internet-based technologies. In fact, there were many non-internet-based technologies i.e. telephone, mobile phone, fax, SMS, Bluetooth, television and radio-based delivery of government services which could be possibly used in e-government context (Ngulube, 2010, p. 187).

In summary, the key factor of successful e-government was to ensure that the government chose the appropriate approach and considered all aspects relevant to e-government, not only technical aspects. It was noticeable that the benefits ascribed to e-government could not be achieved by the use of ICTs alone (Nengomasha, 2012, p. 97).

In terms of the legal and regulatory framework, in theory the legal framework in a particular country has a big impact on e-government implementation and absence of legal frameworks may obstruct the e-government initiatives programs. The laws concerning e-government involve digital signatures, cyber-security, personal data protection and confidentiality (Ngulube, 2010, p. 190). In Thailand, there are laws supporting e-government i.e. the OIA 1997, the ETA 2001 and 2008, Computer Crime Act of 2007, etc. (Vinasandhi, 2015, p. 1) thus Thailand does not lack the legal and regulatory frameworks for e-government.

Another problem found in the literature was a low level of awareness and knowledge in the public about the e-government. In 2000s, e-government was a global phenomenon happening around the world and it caused public services to change dramatically. Lorsuwannarat (2006, p. 18) points out that e-government was not “a ready-made application” and each country must “apply it suitably to their own contexts”. Although, as mentioned before, the Thai government used computers in their operation since 1963, the concept of e-government was still considered new to Thai public by 2006. E-government was more than just using a computer and internet access, but e-government came with the concepts of freedom of information, public participation, transparency, information democratisation, information literacy, etc. In 2006, Lorsuwannarat (2006, p. 17) showed that people had low computer literacy and English literacy. The ICT literacy among the citizenry played a significant role in e-government implementation because it was fundamental to people’s ability to access public electronic information (Ngulube, 2010, p. 198). Research by the OCSC (2009, p. 1-115) pointed out that the government must improve the knowledge and potential of the population so citizen could live in good quality in the digital age.

In conclusion, the e-government projects may not succeed if citizens and the business sector are not educated on the value of e-government. Government should

educate them and make them aware about e-government by proper communication and education programmes (Ngulube, 2010, p. 198).

3.3.12 E-government and records management

One of the key factors of successful e-government is to use an appropriate approach to information systems (Lorsuwannarat, 2006, p. 5). Nengomasha (2012, p. 97) points out that the use of ICT alone cannot achieve the full benefits of e-government. Effective records management is another contributing factor to e-government implementation. According to the International Records Management Trust, government will not fully benefit from their investments in e-government unless they are supported by an effective records management programme.

In 2000s, the IT policies, implemented by the Thai government, resulted in the proliferation of electronic office systems (Vinasandhi, 2015, p. 1). The government was determined to use e-government as a strategic tool to support better public administration and service delivery. Consequently, there were laws and regulations issued in Thailand to support e-government. This legislation was a factor for public records management as well. In either paper-based or electronic government, good governance and accountability were cultivated by well-organised records and information systems. If the goal of e-government in Thailand was to support good governance (e.g. openness, transparency, accountability, efficiency, and effectiveness) (Vinasandhi, 2015, p. 1), then records management would give freedom to the people “to hold government accountable and responsive by ensuring the integrity and availability of government-held information” (Ngulube, 2010, p. 199).

In theory, the failure to manage records whether in paper or electronic format may result in these circumstances such as ministries receiving incomplete advice, making poor decisions, reinventing the wheels, eroding the historical record and undermining people’s important right of access to government-held information (Ngulube, 2010, p. 199). By 2000s, when e-government has been implemented, it was inevitable that managing public records became more complicated because the recordkeeping system in government agencies should include electronic information or e-records. Thai legislation required the government agencies to keep the information or records of business transactions, business communications, including all types of digital information to ensure the authenticity of the information and

accessibility to the information as evidence of government operations, for example, the ETA 2001 recognised the legal status of electronic messages, e-records, and a person's electronic signature (Vinasandhi, 2012, p. 4). Legal enforcement applied to all official information held by government agencies thus government must have a strategy to manage e-records. The strategy must "conform to legal mandates relating to other laws and regulation in the context of their administration activities, as well as preferred management practices and technological options" (Vinasandhi, 2015, p. 9).

In 2007, the NAT was aware of the importance of e-records management thus the NAT reviewed the international literature about e-records management. The NAT carried out a survey of e-records management driven by challenges facing the ICT development in Thailand which impacted on the public records. The data were collected from IT staffs working in ICT Centres of nine departments under the Ministry of Finance in respect of individual preparation of strategic plan and their practices for e-records authenticity and long-term preservation (Vinasandhi, 2012, pp. 7–8). The findings of the survey mention four issues of 2007: lack of knowledge in records and archives management and IT skills, lack of guidelines and manuals for recordkeeping systems, lack of understanding of laws and regulations relating to e-records management and the long-term preservation strategies of the departments were not prepared to meet their future demand, legal requirement and governance responsibilities. The findings of the survey suggest that all stakeholders should participate in planning the strategy for e-records management in the departments (Vinasandhi, 2012, p. 8).

In 2012, in terms of the role of the NAT, Vinasandhi (2012, pp. 8–9) suggested the NAT must prepare all infrastructures relating to e-records management e.g. legal frameworks, human resources, standards, systematic filing systems and finding the methods to prevent e-records of the public sector suffering from damage or loss before transferring to the NAT. In the digital environment, the NAT should prioritise the preservation of e-records. The long-term preservation strategic plan should be defined and the "long-term" referred to a necessity to keep e-records for at least 20 years before those records are transferred to the NAT for permanent preservation. The legal and regulatory frameworks should be set to satisfy the requirement as protection against litigation. By 2015, Vinasandhi (2015, p. 12) said it was crucial that the legal admissibility of e-records must be clearly

written. Records and archives professionals must work in collaboration with lawyers and IT professionals to set standards to guarantee the compatibility, to ensure the interoperability and portability of government information systems among the agencies. She suggested leaving room to each government agency to choose their own choices for digital preservation, but the choices must conform to legislation.

3.3.13 Conclusion

At the moment for Thailand and many countries in the world in the information society, the environment has changed and information is becoming an increasingly valuable asset for organisations. E-government is “the use of ICTs by governments to communicate with and provide services to citizens” (Nengomasha, 2012, p. 95). The literature review indicates that e-government is not the ultimate solution to the problems occurring in the public administration. However, e-government as a tool to support innovative approaches to participative, transparent, effective, networked communication among government agencies, between the public sector and the private sector and with citizens, can make public sector operations efficient, accountable, and transparent (Ngulube, 2010, p. 201).

By the 2010s, IT policies in Thailand had changed working practices in the public sector and the Thai government had implemented e-government with the expectation that e-government would support good governance, openness, accountability and transparency, as well as increasing the efficiency and effectiveness of government services (Vinasandhi, 2015, p. 1). There were weaknesses in Thailand which obstructed e-government e.g. political instability, insufficient government support for the ICT sector, the limited scale of the ICT workforce, low IT literacy and English literacy amongst the population and these weaknesses placed Thailand in a low position in the world ranking (Vinasandhi, 2012, p. 8). In the electronic era, due to obsolescence and impermanence of electronic information, the preservation of e-records should start as early as possible in the lifecycle, preferably at creation of electronic information (Vinasandhi, 2015, p. 12).

Literature reviews reveal that, unfortunately, the role of the NAT relating to e-government was very limited and invisible. The government did not realise that information systems in e-government involved recordkeeping systems and e-records management, but rather viewed information systems through the lens of

computer science and technology instead. The more critical point was the fact that there was no evidence of how the records and archives professionals in Thailand could contribute knowledge and skill to e-government or e-records management in public sector, so the NAT did not have any prominent role at all about e-government.

3.4 Thai recordkeeping culture

To understand the work of archivists in Thailand at a national level, it is useful to give some background information on Thailand's governance and archives. After consulting the literature, the author finds there is only a little literature focusing on records and archives management in Thailand, although there were more extensive researches on Thai studies or Thai history. In this chapter, the content about the practical aspects of records and archives operation in Thailand was largely extracted from research of Nilkumhaeng (1974) who carried out extensive research on archival management in Thailand at a national level. Prior to Nilkumhaeng, there were a few surveys conducted by government officials to obtain an overall picture of the records inventory and record keeping behaviour in the public sector. However, Nilkumhaeng's thesis was considered a milestone of research based on modern records and archival sciences which provided a thorough background and comprehensive explanation of Thailand's archival management up until 1974 (when the research was finished).

Upon the concept of the nation-state of modern history writing, Thailand was previously called Siam before the country's name was changed in 1939. Siam or Thailand is situated in the centre of the Indochinese Peninsula in Southeast Asia and Siam's linear-main stream-nationalist history can be chronologically ordered in four eras which are Sukhothai era (1238–1438), Ayutthaya era (1351–1767), Thonburi era (1768–1782), and Rattanakosin era (1782-present). The history of recordkeeping of Thailand can date back more than 700 hundreds years since Sukhothai era (Prudtikul, 1999). Documents found in Sukhothai era state that the administrative system of Thailand was a patriarchy. The King was the father and the head of the state. This patriarchy system was practiced through Thonburi era and to the early Rattanakosin era (Prudtikul, 1999).

3.4.1 Sukhothai era 1238–1438

In Sukhothai era, the creation and keeping of records was simple with its purpose to manage current records of current use (Prudtikul, 1999). The scripts and traditional written records reveal that the personnel who could read and write were those whose tasks were to create and keep the records (Prudtikul, 1999). Historical evidence indicates that the tradition of writing astrological scripture started during this period (the method used for setting the date and time for calendars) which later became a standard for writing and recording events in the great chronicles of the kingdom. Unfortunately there was little further evidence about any other archival practices such as how people preserved the archives (Nilkumhaeng, 1974, p. 23).

3.4.2 Ayutthaya era 1351–1767

In the Ayutthaya era, the country was governed for more than 400 years under an absolute monarchy regime. Ayutthaya had a hierarchical society which was called Sakdinar (it could be seen as Thai feudalism). Sakdi meant power and Nar meant rice field. Sakdinar was an administrative system which ranked each citizen according to the figurative size of a rice field or allocated land. Hence the power and rank of any person depended on level of Sakdinar. “The patronage system existing within the vertical networks of relationship helped in maintaining the flexible and interdependent structure of Thai society (Kitiyadisai, 2005, p. 18)”.

It was assumed that people in Ayutthaya era retained practices and systems developed in Sukhothai era for managing their records, but the recordkeeping practices in Ayutthaya era were more refined than the practices in Sukhothai era (Prudtikul, 1999). The bureaucracy was a very established system therefore the records as evidence of the government’s function were housed where the authorities worked: the Royal Court and the chief official’s residence (Nilkumhaeng, 1974, p. 31). Chief officials usually worked at home and the records that are now available to the public for research were only the records that were kept in the Royal Court (which are now preserved at the National Archives of Thailand) not the private records kept by officials.

Intellectuals in Ayutthaya era developed the documentary form of public records significantly. Consequently, various public records were created with different names for each type (Prudtikul, 1999). The records kept in the Royal Court

were divided into two groups (Nilkumhaeng, 1974, p. 31). The first group was the records kept at “Ho-Luang” or the Royal Hall. The Royal Hall served as the Royal Library and the archival institute for the Royal Court (Prudtikul, 1999), situated in the palace. The manuscripts, official records, and correspondence were all stored in there.

The second group was records kept at “Ho-stra-kom” or the Astrology Hall (Nilkumhaeng, 1974, p. 32). The records relevant to predictions about the King and royal family were stored in the Astrology Hall, situated in the palace. The Astrology Hall housed reports of Siamese and foreigners (employed on official business about state affairs), records of judicial proceedings, ancient charms, royal nameplates, and writing instruments (Prudtikul, 1999). Also the Astrology Hall was responsible for writing and recording important daily events (Nilkumhaeng, 1974, p. 32). The documents which were the output of this task were titled “Chod-mai-het-stra-kom” or the archives of the Astrology Hall. The style of recording the events was arranged by the date of the event in daily order and an important event was described in brief. Another type of recording was “Samud-poom”, created by an astrologer writing about daily events in order to collect information for further use in future predictions.

Prudtikul (1999) explains that those who study the Thai Library’s history believe that the Royal Hall was the original concept of the present National Library of Thailand. Hence, Prudtikul (1999) asserts that the Astrology Hall can be viewed as the original concept of the NAT as well. As a result of archival practices since 14th century of Ayutthaya era, the definition of the word “Chod-mai-het” or archive in Thailand means the method of recording the events similar to the archive of Astrology Hall, which was a record of daily events ordered by date (Nilkumhaeng, 1974, p. 34). Significantly, the daily task of recording important events still remains in the NAT until the present time by practitioners in Recording Events group.

For preservation, the Ayutthaya people built the Royal Hall in a pond (Nilkumhaeng, 1974, p. 34) as it was built above the water with four pillars at each corner and entrance to the hall was via a ladder. Building the hall in the pond was a method for preventing insects from climbing the pillars into the hall as they might damage the records. However, from a scientific point of view for preservation in modern times, putting the archives on the pond as such will increase a high risk of excessive humidity which may harm the archival materials.

Regarding archival professionals, it was assumed that there was a group of officials assigned for recordkeeping in the Royal Hall because in the latter era such as the Rattanakosin era, there was a position of an officer responsible for this task so Nilkumhaeng (1974) says that it was probably a tradition from the Ayutthaya era. The literature about Ayutthaya era refers to the personnel called “Alak” or royal scribes which were high ranking royal servants (Prudtikul, 1999). The tasks of the Alaks were to look after the Royal Hall, make and keep public records on behalf of the Royal Court. Prudtikul (1999) regards that Alaks worked as both librarians and records managers. In contrast, at the Astrology Hall, there were two royal pages acting as permanent keepers and a particular “archival librarian” responsible for recording the daily events mentioned above and, more importantly, this is the oldest position of archivist found in historical texts (Nilkumhaeng, 1974, p. 32).

3.4.3 Thonburi era 1768–1782

There was little development regarding recordkeeping (Prudtikul, 1999) since Thonburi era lasted only for 15 years (the kingdom was established after the ruin of great kingdom of more than 400 years and the capital city was then moved again to adjacent area across the river for the new era), the bureaucratic system remained similar to the previous, Ayutthaya era (Nilkumhaeng, 1974, pp. 34-35). Hence, the type of records and recordkeeping are assumed to operate similarly to Ayutthaya era, including the task of recording the daily events.

3.4.4 Rattanakosin era 1782-present

From 1782-1868 (during King Rama I – King Rama IV’s reign) recordkeeping practices started developing into the modern universal concept as the public records were generated to document political decisions by the King and senior officials in the Royal Court (Prudtikul, 1999). The Alaks created and kept those records so the King could use them as reference in terms of the nation’s administration. Especially in King Rama IV’s reign, the recordkeeping tasks of Alaks were to serve in domestic and foreign affairs of Thailand. The Alaks were selected by the King from a group of erudite, highly capable officials to perform this job.

From 1782-1891, Siam ran the country under the absolute monarchy regime as in the previous, Ayutthaya and Thonburi eras and thanks to a large amount of historical evidences available for research, Nilkumhaeng (1974, p. 45) was able to

portray the process of records management in the early Rattanakosin era. In records management cycle, as a result of routine work of nation's administration, current public records were generated in three copies: the first copy was a draft written by royal pages and clerks about the King's orders during meetings with the Royal Court: the second copy was an original record for delivery to whom it might concern: and the third copy was a surrogate rewritten by the records creator.

In the early Rattanakosin era, the bureaucrats worked at home and a "Sala-lookkhun" or Jury Pavilion served as the central records centre. Every official document including correspondence was sent to the Jury Pavilion first before being delivered to the private residence of a recipient, the bureaucrats (home office). The cover letter of every official document was kept at the Jury Pavilion for reference while the original document was delivered to the recipient.

In records management in public administration early in the Rattanakosin era, it is notable that the government established a body acting as a central administrator for current record management and this method is adopted in later and present governance. Nowadays although the Office of the Prime Minister is not an official record centre of the entire public sector like the Jury Pavilion was in the early Rattanakosin era, the Office of the Prime Minister still partially controls records management in public sector by promulgating the regulations on recordkeeping for the ministries to follow. In the King Rama IV's reign, the uniformity of the public records was developed and standardised e.g. forms, language style, seal and special signatories (in diplomatic aspect) thus, consequently, documentary form of public records became an essential part of recordkeeping practices in Thai government until today (Prudtikul, 1999).

From 1892-1932 in the reign of King Rama V, although the regime was the same, Siam changed the way of governance following King Rama V's decision to establish twelve ministries to administer the nation. Siam placed considerable effort on confronting the penetration of Western countries that sought colonisation in the imperialist period. Therefore Siam modernised the country by adopting European concepts and technology, which were considered essential for social development.

The ministries consisted of departments, sections, and units hierarchically organised under the ministry that served as official workplace, instead of working at

private residences, as was the case in previous times thus the official records functioned under the ministry were automatically kept at the workplace (Nilkumhaeng, 1974, pp. 47–48). For regional areas, the provinces in each region were under the authority of the Ministry of Interior only. Due to the establishment of the ministries, the tradition of bureaucracy had changed from working at private residences to working in a hierarchical, clearly-structured organisation. Each ministry was responsible for its own recordkeeping. In 1985, the Ministry of Foreign Affairs was the first ministry that set rules on recordkeeping and set up a central filing unit (Nilkumhaeng, 1974, pp. 47–48).

In respect of archival management in this era, normally the official records were collected and arranged in chronological order from the latest to the oldest. This arranged collection was attached together with a cover sheet describing the title and its brief contents. They were arranged under a relevant subject heading which had many levels depending on the contents of records. It is worth noting that arranging records by subjects was widely used before the international concept of principle of provenance was introduced by modern archival sciences.

The 1932 Siamese Revolution changed the nation's regime from an absolute monarchy to a democratic constitutional monarchy and the new regime has remained stable until the present. The central administration remained under ministries, but the Prime Minister ran the country. The regional administration was decentralised and given authority to manage the affairs in the provinces.

In 1934, the Secretariat of the Cabinet was set up and acted as a coordinator between the ministries. In 1935 the Secretariat of the Cabinet formulated two pieces of legislation aimed at enforcing good records management in the public sector: firstly, the Regulations on Records Management and secondly, the Regulations on National Security. In this era, they initiated new systems for managing public records and formalised decentralised recordkeeping systems of the government because the national administration was functioned by separated organisations (Prudtikul, 1999). The procedures, processes, methods for recordkeeping varied in each organisation. Each ministry used its own practices and systems to manage their public records.

In Rattanakosin era, there were five bodies related to records and archival operations, as follows (Nilkumhaeng, 1974, p. 49).

Firstly, “Ho-Luang” (Royal Hall), the same as in previous eras, carried out as the archives of the Royal Court (Nilkumhaeng, 1974, p. 49). In 1933, after the Siamese Revolution, the public records were divided into two groups. The first group was the records relating to the King and his private affairs. They were transferred to the Office of His Majesty's Principal Private Secretary. The second group was records about the state's affairs. They were delivered to the Secretariat of the Cabinet and then transferred to be preserved at the NAT in 1954 before the Royal Hall ceased operation. At the Royal Hall, they set up the tradition of creating finding aids by two methods. The first way was creating a table of contents for each records collection by writing the list of titles in that collection on the cover page. The second method was creating a control list for records of every single ministry in each year by writing the first title on each folder.

Secondly, the Astrology Hall continued performing the same as in the Ayutthaya era. However, in the reign of King Rama V the recording of an event was transformed into a task called ‘Diary’. Diary tasks were assigned to three officials. First was a journalist who collected the news and information about events and usually attended meetings and took notes when the King administered state affairs. The second official was a writer who wrote in the Diary. The third official was a copyist who created a surrogate of the document. Nowadays, the archivist at the National Archives of Thailand is still assigned to perform journalistic and writing task in the Recording Events group (Nilkumhaeng, 1974, p. 49).

Thirdly, the National Museum housed the inscriptions from the reign of King Rama III in 1833. In 1886, during the reign of King Rama V there was the case of Rastmann (a German who cut off the head of a Buddha image) thus the King Rama V ordered that antique objects across the nation should be preserved in Bangkok. The inscriptions in Northern region were collected and delivered to Bangkok to be preserved at the National Museum before they were later transferred to the Vajirayana Library (Nilkumhaeng, 1974, p. 49).

Fourthly, the Vajirayana Library was an important institution collecting the public records in the early Ratanakosin era as the library ran the project on

acquiring the public records from the reign of King Rama IV and earlier. Due to the substantial number of records and manuscripts stored, the 'Archive Section' was set up particularly under the Library to preserve them (Nilkumhaeng, 1974, p. 49).

The Vajirayanna library was established in 1881 by the princes and princesses of King Rama IV as commemoration to the King (Chitsanga, 2009, p. 4). Apart from functioning as a library and a club for the elites, the library issued journals that became valuable historical resources for historians because the publications showed the condition and the change of Siam, and reflected the interests and thoughts of people in society during that time. The Vajirayanna library was the club of the Siamese elite and its activities reflected the adoption of many aspects of Western culture by the elite including concepts of recreation, leisure time, and the collecting of printed books, manuscripts, and documents (Chitsanga, 2009, p. 4).

The traditional style of learning in Thailand before modernisation consisted of the teacher (or the master) transmitting knowledge to the student (or the disciple) (Chitsanga, 2009, p. 3). The student was meant to memorise and recite the original text. The knowledge, mainly Buddhist teaching, gained from this method of learning was considered the ultimate truth because of its religious connection. It could not be doubted and was unchangeable. This traditional learning method did not encourage self-learning. Later, the perception of knowledge changed since the innovative technology of publishing led to mass book printing which allowed people access to knowledge through reading. People, since then, started collecting and possessing published materials, as a valuable medium for gaining knowledge and wisdom (Chitsanga, 2009, p. 3). Consequently, the people perceived that knowledge could be accumulated, changed, and adapted.

During this period, the ideology of the western library came to Siam and each library tried as much as it could to collect every single book that was published in order to build a universal library (Chitsanga, 2009, p. 28). The concept of a modern library matched the idea of possessing knowledge. Therefore, there was a trend of collecting and acquiring textual materials, including inscriptions, palm leaf texts, and scriptures. It is important to note that the effort of the Siamese elites to collect the textual materials was in accordance with the attempt to centralise political power in order to strengthen the country. In order to survive colonialism, one

strategy was to show the westerner that Siam was civilized and had its own identity as an independent country for a long time. The trend of collecting materials, especially the local textual records, was helpful to the process of research on the history of Siam. Likewise, in 1907 the Archaeology Club was established by King Rama V, aiming to investigate archaeological sites and materials, to raise awareness of national history and explore the history of Siam from records everywhere (Chitsanga, 2009, pp. 144–145).

Moreover, the Vajirayanna library was also responsible for contacting the national archives of other countries to request duplication of the records related to Siam and these were preserved as archival duplicates in the library. In term of archival practices, the official records were arranged by the reign of the King, followed by the year of the records and then classified by subjects (Nilkumhaeng, 1974, p. 49).

Finally, the fifth body relating to archives management in Thailand was the National Archives (Nilkumhaeng, 1974, p. 67). In 1933, the Royal Decree was declared to set up a “Recording Events Unit” in the Library Section, under the Fine Arts Department. Later, in 1938 the “Recording Events Unit” transferred to the Culture Section of the Fine Arts Department. In 1942, the “Recording Events Unit” was moved to the Literature Section of the Fine Arts Department.

In 1952, the National Archives of Thailand was established as a section under Fine Arts Department, Ministry of Culture, entrusted by the Royal Decree of the Fine Arts Department’s Reengineering (Poonsrisawat, 2006, pp. 20–21) and two groups were established to function in the National Archives, which were Recording Events Group and Important Records Group.

During this period, the library practices had a great impact on archival practices (Nilkumhaeng, 1974, p. 67), for example, the records were arranged by subjects following the concept of library classification. However, while the library practices had been improved, the concept of international records and archival sciences was not introduced to Thai society. For archival practices, the practitioners were not trained about records and archives sciences, thus they merely followed the traditional practices in the early Rattanakosin era e.g. collecting records, creating

inventory lists, and arranging records by subject under the year of the King's reign (Nilkumhaeng, 1974, p. 69).

In 1958, the NAT was transferred to operate under the Fine Arts Department, Ministry of Education. In 1988, the first regional branch of the NAT was founded and the latest regional branch of the NAT was founded in 1997. In 2002, the NAT was upgraded to be an institute under the Fine Arts Department, Ministry of Culture.

3.4.5 Conclusion

In summary, literature about the traditional practices of records and archives professionals in Thailand indicates that the governance of Thailand in each era had an impact on records and archives management because the public records served as both a tool and a product of the government's function (Nilkumhaeng, 1974, p. 45). However, the existence of traditional archival practices and the establishment of national archives institutions since the 13th century did not guarantee high quality records and archives practices, as was clearly stated in Nilkumhaeng's thesis (1974). She found that in 1974 "the preservation of the non-current records of different agencies in Thailand was not based on a consistent standard in accessioning, preservation, controlling and service" (Nilkumhaeng, 1974, p. ๓). She suggested reengineering the organisational structure and the scope of authority provided to a filing unit (or archival section) in a ministry and to make every filing unit in the ministries operate on the same standard to manage records more effectively.

Moreover, Nilkumhaeng (1974, p. ๓) pointed out another critical legacy of the past, namely that of how the definition of the word "archive" had an impact on records and archive administration and professionalism in Thai society. There were differences in the way archive was understood and used internationally and by Thai professionals and these differences defined the scope of professional practices. Internationally, archives or records meant the official records having historical and enduring values that deserved to be preserved permanently, while in Thailand the word "archive" included the word "Chod-mai-het" as recording of events or writings in summary about any important events that already occurred chronologically (Nilkumhaeng, 1974, p. 1).

The author finds that an equivalent in meaning to this term used in western culture is the word “chronicle” and in fact archival practices in Thailand have covered both these definitions of the word “Chod-mai-het” or “archive” from the ancient days up until the present time. Nevertheless, the common Thai perception of the archive (as an historical subject rather than a primary source of information for good governance and the basic tool of transparency) inevitably influences the government to assign archival operations a low priority. Archival activity seems to be less significant compared to other government businesses that can improve the quality of life of the citizen more directly.

To conclude, it is vital in this thesis to understand the traditional practices of records and archives professionals in Thailand as discussed in this chapter because this study focuses on the factors that have shaped archival practices. Studying how recordkeeping practices emerged and developed from the past and how archival professionals were positioned historically, the author could analyse and understand the current situation in Thai archives. Moreover, there were recordkeeping practices that were legacies from previous times that still remained in Thai archives in 2014. This raised the question of how standards in the modern world and standards created outside Thailand could improve or affect such traditional practices in Thai archives.

3.5 Thai recordkeeping legislation

This section introduces legislation which is another factor that shapes recordkeeping practices, especially in the public sector and in the NAT. By 2018, four main pieces of legislation affected records and archives management in the public sector in Thailand. Apart from encouraging cooperation between government agencies and the NAT and the acquisition of public records to be preserved at the NAT, these laws shape the performance of archivists at the NAT. Moreover, the laws also affect the fundamental rights of Thai citizens, especially their rights to access to information held by the government. Furthermore, according to theory about standards discussed in the previous chapter, legislation could be regarded as a type of standard; a formal standard that is endorsed by governmental authority.

“The legislation is the basis of our societal framework (Wickman, 2011, pp. 53–54)”. Legislation impacts on recordkeeping behaviour and, although legislation alone may not lead to perfect recordkeeping, passing powerful legislation can help

empower archival institutions which impacts on recordkeeping practices and systems at the national level (Wickman, 2011, p. 54). Although this thesis focuses on standards for archival practices, it is also necessary to address legislation concerning recordkeeping in Thailand.

3.5.1 Records and archives legislation

According to Iacovino (2012), the law has been tied to developments in recordkeeping in two ways. Firstly, the dependence of the law on recordkeeping enforces the rights and obligations of individuals and organisations in society. The nature of records provides evidence of the activities of a person or organisation within a particular juridical system which records enforce thus the law is a part of recordkeeping's context. Secondly, it is the law that establishes the rules for the acceptance of records as evidence including the records issued by all kinds of public and private authorities thus the concept of records as evidence of human activities can be applied to any legal system. The law acknowledges a range of legal relationships. It also provides a legal personality to person and organisation (as natural or legal persons) to regulate them and recognise them as rights' and obligation holders (Iacovino, 2012). The organisational objectives are usually in compliance to regulation and legislation (Shepherd, 2006, p. 8). The recordkeeping practices in organisations are set within strategic and environmental frameworks within scope of legislation.

After consulting literature, what should be in the archives legislation and regulations are specified in the RAMP study with guidelines on archival and records management legislation and regulations (Ketelaar, 1985). This literature distinguishes legislation and regulations. Legislation is defined as products of the highest legislative authority of a nation, in a form appropriate to the constitution whereas regulations embrace all measures concerned with the enforcement of legislation and may be enacted by any administrative authority with regulatory powers (Ketelaar, 1985, p. 4). This literature analysed legislation and regulations in nearly 120 countries in 1985 and provided concludes with a set of guidelines to assist records managers and archivists (in creating, developing, and evaluating modern recordkeeping systems and services, particularly in the public administration) and assist information policy and planning specialist (in proposing, drafting and reviewing legislation and administrative regulations). The provided guidelines cover many areas about archival legislation i.e. definition of records and

archives in general, definition of public records and archives, inalienability and imprescriptibility of public archives, non-public archives, functions and organisation of public archives services, national archives system, ministerial responsibility, advisory body (archives council), records management, right of inspection, records centres, appraisal and destruction, transfer, deposit of official publications, preservation, arrangement and description, access, reprography, personnel, and enforcement.

Moreover, in 1994 Hurley (1994) examined archives legislation in Australia and commended on fundamental issues in archives laws by adopting ICA model devised by Ketelaar (1985). The literature analysed Australian archives legislation in four areas which were jurisdiction and organisation (i.e. archives authority, advisory body, responsibility, reporting, definition of records, and ambit), records management functions (appraisal and disposal, records management, and right of inspection), custody and ownership (records inalienable, transfer to archives, recovery of estrays, places of deposit, and non-public archives), and public access and use (30 year rule, decision to close records, grounds for closure, review/appeal, public services, and right of public to have copy).

According to ISO 15489-1:2001 (International Organisation for Standardisation, 2001, p. 4) which provides guidance on managing records of an organisation, it is essential that an organisation must identify its regulatory environment which influences on activities and requirements to document organisation's activities. Also, an organisation should have adequate evidence to prove that it complies with regulatory environment. The author applied ISO 15489-1:2001 to structure regulatory environment of the NAT (the focus of this research) and to display a hierarchy of standards for archival practices in the NAT as follows.

Table 3-2 The regulatory environment of the NAT

The regulatory environment (International Organisation for Standardisation, 2001, p. 5)	The NAT environment
a) statute and case laws, and regulations governing the sector-specific and general business environment, including laws and regulations relating specifically to records, archives, access, privacy, evidence, electronic	The RPMORM 1983 and 2005 The OIA 1997 The RMOS 2001 The NAA 2013
b) mandatory standards of practice	
c) voluntary codes of best practice	Principles of Fundamental Administration

	and Archives Management (Fine Arts Department, 1999) Standard for Records and Archives Preservation of the National Archives (Fine Arts Department, 2012)
d) voluntary codes of conduct and ethics	ICA Code of Ethics
e) identifiable expectations of the community about what is acceptable behaviour for the specific sector or organisation	

An important reason to mention the law in this research is because records, archives, and the recordkeeping system have an important role to help regulate social relationships within the operation of any legal system. A good recordkeeping system is a tool to contribute the efficiency of juridical operations.

Legislation relating to records and archives practices may be either primary or secondary legislation. Primary legislation is enacted by parliament or some other supreme legislative authority e.g. acts, decrees, and ordinances. In Thailand, primary legislation is, for example, the OIA 1997 and the NAA 2013. Secondary legislation is usually promulgated by a minister, under powers conferred by the primary legislation e.g. statutory instruments, rules, regulations. For instance, the secondary legislation governing Thai archives are the RPMORM 1983 and 2005 and the RMOS 2001.

For the Thai public sector, the primary legislation i.e. the OIA 1997 and the NAA 2013 specify a general framework for records and archives management, while the secondary legislation deals with some detailed aspects. Moreover, there are other tools for supporting the records and archives legislation as well such as international standards, procedural guidelines and instructions. Public records are created by government agencies or other institutions within the public sector. “Their management is — or ought to be — governed by legislation, which determines how they are to be managed throughout their life” (International Records Management Trust, 1999, p. 10). By 2018, there are many rules in Thailand relating to records and archives, and information in general.

This research focuses on archival practices, and so the author only addresses the legislation that is enforced in the Thai public sector, implemented for public records, and which affects archival practices in the NAT. In 2018, the

acquisition of public records at the NAT is regulated by four pieces of legislation which are as follows. The first is the Regulations of the Prime Minister Office on Records Management B.E. 2526(1983) and the second and additional version B.E. 2548(2005). The second is Official Information Act B.E. 2540 (1997). The third is Rule on Maintenance of Official Secrets B.E. 2544 (2001). The fourth is the National Archives Act B.E. 2556 (2013). Each pieces of legislation is discussed in details and we can see how each law has shaped the recordkeeping practices at national level in the public sector as follows.

3.5.2 The Regulations of the Prime Minister's Office on Records Management 1983 (RPMORM 1983) and the second and additional version 2005 (RPMORM 2005)

When the 1932 Siamese Revolution changed the regime to a constitutional monarchy, the Thai government at that time needed to improve and organise its record keeping system in the public sector to facilitate the workflow of its administrative operations. Three regulations were issued in the past and implemented before the emergence of the present RPMORM 1983 and RPMORM 2005 (Chaijindasut, 1991, pp. 86–91). The scope of enforcement of the earlier regulations covered central administration, provincial administration, and local administration, including state enterprises, government offices in foreign countries, and committees, etc. The three regulations issued in the past were as follows.

Firstly, “the Types of Government Documents 1935” merely defined the pattern and forms of government documents and did not mention records maintenance or their destruction. The scope of compliance was the central administration (ministries, departments, and divisions), provincial administration, and local administration (Chaijindasut, 1991, pp. 86–87).

Secondly, “the Regulations of Records Management 1953” was the first time that records management was defined. The regulation determined the procedures for receiving, delivering, and retrieving official documents, including the forms of document and principles of records management, which covered their creation, maintenance, and destruction by the originating agency. Also, the law specified the retention period of some official documents that were considered for further storage, being kept for a further ten years instead of destroying them (Chaijindasut, 1991, pp. 87–89).

Thirdly, “the Regulations of the Prime Minister’s Office on Records Management 1963” mostly provided procedures concerning the forms of official documents, their maintenance, and the disposal of records, all of which remained largely unchanged. The procedure for borrowing official documents by one government agency from another or by individuals was added to the regulations (Chaijindasut, 1991, pp. 89–91).

By 1983, succeeding the previous three regulations, a new regulation was issued and implemented more recently and is still in force. It was “the Regulations of the Prime Minister’s Office on Records Management 1983” which provides details e.g. the types of official documents, the method of sending and receiving documents, standards of layout of each official document, how to keep current and semi-current records, and the disposal of documents (National Archives of Thailand, 2016e). It defines rules of access to confidential official documents between the government agencies (Chaijindasut, 1991, pp. 91–93). The regulation therefore specified the guidelines for managing Thai official documents from creation and maintenance to disposal, following up records life cycle concept (Vinasandhi, 2012, p. 5).

By 2005, the government used e-records and more technology in communication, so as a result RPMORM 1983 added more details to the existing regulation. The new regulation is called “the second and additional version 2005”. The RPMORM 2005 is decreed to support electronic transactions (Vinasandhi, 2012, p. 5). The new regulation defines what “electronic” and “electronic record keeping systems” mean. The regulation mentions other formats of records (apart from the paper format) i.e. CDs, magnetic tape etc., procedures of receiving and sending information through electronic communication, and classification of confidentiality for electronic records. Also, the regulation changes the retention period of official documents from twenty-five years to twenty years, so documents aged twenty years are now listed to the NAT for appraisal (National Archives of Thailand, 2016e).

RPMORM 1983 and the second and additional version 2005: application, problems, and further remarks

First of all, the RPMORM 1983 and 2005 are used as standards because they have set a standard among government agencies in terms of the creation, receipt, distribution, borrowing, maintenance, and destruction of documents. The RPMORM 1983 and 2005 emphasise on document form and registry system standardised in public sector. For example, in the previous regulations (1935, 1953, and 1963), the government agency has a legal authorisation to dispose of official documents in the custody of the originating office.

The RPMORM 1983 is the first law which authorises the role of the NAT in taking part in the appraisal of non-current official documents before disposal by the originating office (Nilkumhaeng, 1974, p. 186). The scope of regulations prohibits the destruction of all official documents without prior consultation and approval of the NAT. If any documents are determined for preservation, the government agency is obliged to deliver them to the NAT. Officials must register the records after accessioning and there is a clear guideline available on how to define in – out reference number.

Secondly, the strengths of the RPMORM 1983 and 2005 are intricate details of how to create records for internal and external purposes, formats and fonts of records, in-out registry of records, and these details are accurate and comprehensive enough so that government organisations in public sector can comply with the rules without difficulty (Int.15).

Thirdly, the RPMORM 1983 and 2005 are arguably in compliance with international standards e.g. ISO 15489. The retired archivist viewed ISO 15489 (which can be applied for records management) as very similar to Article 1 of the RPMORM 1983 and 2005 in terms of the concept that organisations should plan recordkeeping system from the beginning stage when records are created (Int.16). The RPMORM 1983 and 2005 and ISO 15489 start at the same stage (which is records creation) in life cycle theory.

Fourthly, the operational instruction, penalties, and some details are not given in detail. The criteria and standards of appraisal of documents before disposal are not comprehensively prescribed. For instance, the filing systems for current and semi-current documents e.g. the classification of records and references, indexes, file titles, file numbers, or location of files are not specified in any of the regulations.

Therefore, this resulted in non-standardised and disorganised recordkeeping systems among government agencies. Another weakness of the rules is insufficient details about managing non-current records. Consequently, organisations have to set their own procedure to manage non-current records.

By 2014, interview data reveal that many government officials responsible for records management were not in high ranks so they did not have authority to set standards for recordkeeping practice (Int.15). Consequently, the recordkeeping practices for managing public records in government agencies were a makeshift for short-term or in-house systems and more importantly it led to a current problem in Thai recordkeeping system. Although the NAT put in effort to solve the issue, the NAT had limitations so it was unable to improve overall Thai recordkeeping system in public sector (Int.15). The educator suggested if the senior management in government agencies prioritised recordkeeping and supported implementing standards that would be very useful. However, as far as she knew, this only happened in some organisations (Int.15).

Fifthly, the NAT does not have as effective a role in enforcing the regulations as it should. For example, the law states that the public sector must create tables of records retention schedules, but in reality there is no official evidence to manifest whether the public sector actually acts in compliance with the law. It is doubtful if the NAT is capable of playing its role.

In regards to records management, the educator emphasised that the RPMORM 1983 and 2005 were significantly helpful by 2014, however, the NAT must educate and encourage the government agencies about recordkeeping practices (e.g. records arrangement, how to manage semi-current records, etc.) due to lack of guidelines or in-depth details (Int.15). Sometimes the public records were kept in government agencies, but the agencies did not consider those records as archives meaning that there was no proper setting of standards for archival practice in public sector. The officials did not realise that they had an active role in the archival processes because the RPMORM only covered between records creation to records destruction (or transferred to the NAT for permanent preservation) and the NAT did not concern itself with this role. Consequently, the condition of public records of was unpromising (Int.15).

Sixthly, the processes of developing the regulations are problematic which may lead to weak implementation. The regulations were under control of the Prime Minister's Office. The NAT was merely capable of revising and adding some rules in the RPMORM 1983 and 2005. The Prime Minister's Office only allowed its Lawyer Office to supervise and edit the regulations. This decision definitely led to more troubles because the Lawyer Office supervised many regulations and the edition was only in the legal perspectives because the lawyers did not know much about records and archives management. Consequently, it reached to the point where the revision of the legislations was launched to fix the gap in the laws (Int.15).

In summary, the regulations had been gradually developed from the time of the 1932 Siamese Revolution through to the present digital age to sustain the administrative operations of the Thai government. All in all, the RPMORM 1983 is an old fashioned piece of legislation that shows the relationship between the impact of legislation and archival practice in the public sector. The regulations have no penalties or monitoring, so they do not function effectively for improving routine recordkeeping practices as it is expected.

3.5.3 Official Information Act 1997 (OIA 1997)

Section 3.2 states that globalisation has an impact on Thai politics and public sector. One of the consequences of globalisation was the concept of freedom to access to information which also shaped the practices of records and archives professionals in Thailand. In 1948, the United Nations Universal Declaration of Human Rights included the right to seek, receive and import information, and freedom of expression. In 1966, "access to information is inextricably tied to freedom of expression" was acknowledged in the International Covenant on Civil and Political Rights (Shepherd, 2015b, p. 715). Later, the concepts of freedom of information and right to information access were adopted by many national governments. These concepts are vital part of citizen's rights, human rights, accountability, transparency, and open government.

Many countries in the world enacted their freedom of information law within the last two decades. Shepherd (2015b, pp. 715-716) categorises the countries adopting freedom of information concept as law into three waves chronologically. The first wave started in 1966 in US. The second wave appeared in the 1980s i.e. Australia (1982), New Zealand (1982), Canada (1983). The third wave occurred in

the 2000s i.e. Ireland (1997), South Africa (2000), UK (2000), including Thailand (1997). By 2015, there were more than a hundred nations that had freedom of information law (there were only fifteen countries in Asia).

Before the OIA 1997, Thailand was a country where the governments had largely practiced information closure and the authorities acted as the information owner. The citizens were characterised as those who must make a plea to get their requested data while the information owners (the government) tended to deny such requests in most cases. The right to access to information was very limited. The so-called Transparent Government, under Prime Minister Anand Panyarachun (1991-1992), drafted the OIA and the OIA was promulgated on 9 December 1997 (Serirak, 2006, pp. 116–117).

In Thailand, the OIA 1997 serves as a Freedom of Information (FOI) law. In general, Freedom of Information refers to a citizen's right to access information held by the state and this freedom is supported as a constitutional right called a Freedom of Information Act in many countries (United Nations, 2017d). The act indicates discretionary exemptions for information disclosure. Since the OIA 1997 describes how to manage personal information, it also requires a proper information security system within government agencies. Moreover, an individual has the right to make a request, lodge a complaint, and make an appeal to access information.

The OIA 1997 is the first law in Thailand providing a definition of information, official information, and personal information. The Constitution 1997 did not state a definition of the word “information”, but the word is defined in the OIA 1997 in a broad sense (Prokati, 2001, p. 66). In Section 4, “information” is taken to mean “any material corporeal or incorporeal material which communicates meaning, whether such communication is made by the nature of such a thing itself or through any means whatsoever and whether it is arranged in any form or any other method which can be displayed” (National Archives of Thailand, 2016d). Meanwhile “official information” means information in possession or control of a “state agency”, whether it is information relating to the operation of the state or information relating to a private individual (National Archives of Thailand, 2016d). Official information covers both public and private information which is gathered or held by public authorities or state agencies in their functions. Hence official information is not limited to

information relating to administrative acts or limited to those records in a narrow sense (Prokati, 2001, p. 66).

The OIA 1997 guarantees freedom of information and people's rights to access state agencies' information ranging from the rights to request a copy of the information, to inspect, to receive advice, to file complaints and appeal, to request the state agency to correct or change personal data (Serirak, 2006, p. 117). The OIA 1997 attempts to make data processing in the government agencies open, correct, accessible, up-to-date, and subject to supervision and auditing. According to the OIA 1997, most official information should be disclosed for public perusal, with only some information that the state agencies can keep confidential constituting small exceptions. The OIA 1997 sets up two external independent bodies: the Official Information Commission and the Information Disclosure Tribunal. Should the government agency refuse to reveal expected data, the citizen still has the right of appeal to the Official Information Commission to reconsider the case.

The OIA 1997 also awakens information privacy rights or data protection (Serirak, 2006, p. 7). In theory, a Data Protection Act should control how personal information of individuals is used by organisations, businesses or the government. Those who are responsible for using personal data must follow strict rules called "data protection principles" (United Nations, 2017d). In Thailand, the OIA 1997 protects the privacy of citizens by limiting the power of the public sector to use and access personal information of individuals unless it is necessary to fulfil its task.

The Constitution 1997 does not provide a meaning of "personal information" or "privacy" (Prokati, 2001, p. 66), but the OIA 1997 in Section 4 defines "personal information" as information relating to all the personal particulars of a person e.g. education, financial status, health record, criminal record or employment record, which contain the name of such person or contain a numeric reference, code or such other indications identifying that person, such as fingerprints, a tape or a diskette in which a person's sound is recorded, or photographs, and also includes information relating to personal particulars of the deceased (National Archives of Thailand, 2016d).

Privacy is both individual and collective benefit which allows the public to take part confidently in state-citizen interactions (Sexton et al., 2017, p. 306). It is

not easy to balance between using data to increase efficiency of government and protecting privacy. The OIA 1997 protects individuals from privacy violations by the government agencies who gather the information using new information technology. Government agencies are not permitted to store and trace personal data of the citizens, thus they must inform the data subject about the collection of such personal data in advance (Serirak, 2006, p. 118). By 2001, apart from the rights of the consumer to information regulated by the Consumer Protection Act, the protection of personal data held by the private sector was not well recognised by the law. However, it was expected that a law concerning information privacy protection in information systems of the private sector would be implemented in the future (Prokati, 2001, pp. 65–66).

Moreover, in the OIA 1997, Chapter IV provides the meaning of “historical Information” in Section 26, noting a state agency shall deliver official information which the agency does not wish to keep or which is kept beyond the period (under paragraph 2) as from the date of completing such information, to the NAT or other government agencies as specified in the Royal Decree, so that it can be selected for public access and study (National Archives of Thailand, 2016d). Most importantly, all government agencies are subjected by law to establish proper protection for all types of information. This is a question of how well the public sector ensures that the recordkeeping system in their organisation can securely keep all information held by the government officials.

The OIA 1997: application, problems, and further remarks

It is difficult to assess the success of a freedom of information law. Success of its implementation depends on a culture change in organisations to be more transparent and open. The law requires good and effective recordkeeping systems established in organisations (Shepherd and Ennion, 2007, p. 44). After consulting English language literature, it is found that the FOI has had a big influence on developing records management in the UK public sector. In contrast, there are few studies of legal perspectives on OIA 1997 and they demonstrate that the OIA 1997 implementation had less effect in improving the recordkeeping among government agencies. Significantly, literature review reveals that poor recordkeeping and recordkeeping were regarded as an obstacle to OIA implementation. Past research

reveals issues and impacts of the law on recordkeeping practices in the public sector as follows.

Firstly, in the early few years of the OIA 1997 implementation, government officials from the highest (high-ranking executives) to lowest rank (service-level officers) did not understand the OIA 1997 and they lacked adequate knowledge about the law (Serirak, 2006, p. 112). As a result, they did not know how to implement the OIA 1997 and could not perform the task of providing an information service to the public. In 2006, the government officials still lacked sufficient knowledge about the principles of information disclosure services to allow people's right to access to information thus they could not administer the government agency in compliance with the Act. To solve the problem, Serirak (2006, p. 123) suggests the Official Information Commission prepare strategic guidelines for the OIA 1997 implementation, to serve as a blue print for promoting and operationalising the right to information access.

Secondly, the OIA 1997 should be a tool for developing the records and archival practices within government bodies, but it did not function well on that basis. By 2006, in cases of cross-ministerial information, the information service was complicated and time-consuming, partly because the records were not well organised and stored. In her research on people's right to information access, Serirak (2006) points out that the poor recordkeeping systems in public agencies were one of the limitations because she could not gather the evidence of how Thai citizens exercised the right to information access or how effectively bureaucrats responded to it. "Poor and non-systematic data management system in each office made it difficult to count for such scores. The best way to understand how effective the citizens exercised the Right to Know was to look at the problematic stories, when those who suffered any prejudice to his/her rights from the state sued and appealed to the Commissioner" (Serirak, 2006, p. 119).

Moreover, in 2001 it was found that awareness and attitudes of officials were a significant hindrance for records management and OIA 1997 implementation. "Moreover, as for the cross-ministerial information, the flow became more confused and complicated, since the documents were not well stored. This made the information service a difficult task. And as it usually took too much time to search for and to find information to serve those who made requests, state officials felt

unhappy to do the information disclosure service; they saw the job as burdensome and also boring” (Prokati, 2001, pp. 83–84).

Thirdly, the OIA 1997 is enforced but the perceptions and the understanding of Thai citizens about the Right to Know, freedom of information, personal data protection, and privacy was limited as the majority of the population rarely understood key elements of OIA 1997 thus they could not utilise the law effectively in accordance to their demand to access to official information (Serirak, 2006, pp. 122–123). The concepts of OIA 1997 enforcement and the application mode of acknowledging and responding to requestors are extremely poor.

Finally, the OIA 1997 provides details of the records transfer and destruction of documents that are dealt with as the responsibility of the NAT. Also, the OIA 1997 particularly emphasises access to public and private data. Therefore it should shape the archival operations in terms of providing services to users and setting out policy on legal issues. However, there was not much active movement from the NAT in playing a leadership role for setting national standards for archival services. Only the guidelines for Personnel Administration Records Retention Schedule and for Financial Records Retention Schedule 1999 produced by the NAT were relevant to personal information management.

In regards to OIA 1997 and its effects on archival practices at the NAT, in principle, the crucial purpose of managing and keeping records is to ensure that records creators can be held accountable and the concept of accountability points towards freedom of information law whereas the concept of data protection points towards personal privacy (Cook, 2010, pp. 75–76). Generally, the works of recordkeeping professionals support freedom of information and equal access to information, at the same time archivists want to preserve the privacy of individuals. Procter (2005, p. 59) suggests the role of educational institutions to provide an introduction to the law (about records and archives management) and to the procedures (to work in compliance with the law). To work in compliance with the law, archivists should learn how to analyse structures, functions, and cultures of organisations (Procter, 2005, pp. 59–60). Archivists should be educated so archivists can take a proactive role to maintain democratic values and promote citizenship.

At the NAT, especially the Research and Records Administration Group, OIA 1997 is the law that the archivists hold on to. From interview data in 2014, OIA 1997 was acknowledged by the practitioners. Practitioners were aware that this law required government agencies to transfer non-current records to the NAT for permanent preservation (if appraised to be kept) and prohibited records destruction without consent of the NAT (Int.1-3).

In summary, literature review indicated that recordkeeping practices in many government agencies in 2001-2006 were poorly and inappropriately managed which became obstacles for citizens and for government officials to retrieve information when requested. There are more actions that the NAT should take to establish the recordkeeping systems in public sector which will facilitate OIA 1997 implementation when citizen request access to information held by the government agencies.

3.5.4 Rule on Maintenance of Official Secrets 2001 (RMOS 2001)

RMOS 2001 is based on the Rule on Maintenance of National Security 1974 and aims to protect national secrets and security by limiting access to government records. In Section 1 RMOS 2001 sets up two security agencies: the National Intelligence Agency under Office of the Prime Minister as a civil security organisation and the Armed Forces Security Centre under Office of Supreme Commander as a military security organisation (National Archives of Thailand, 2016b).

RMOS 2001 is a result of a demand to have a rule on the maintenance of official secrets. By virtue of section 16 and section 26 of the OIA 1997 containing certain provisions in relation to the restriction of rights of persons to access to official information (in respect of which section 58 and section 29 of the Constitution allowed), the Council of Ministers made a resolution to implement RMOS 2001 (Vinasandhi, 2015, p. 3).

In Section 2, RMOS 2001 sets a standard for classifying three degrees of information secrecy (Top secret, Secret, and Confidential). In Article 2 Part 1, RMOS 2001 authorises the head of a government agency to appoint a registrar for the classified information who is responsible for executing policy relating to that information e.g. implementing the law in the agency, maintenance of the records, keeping them in a safe place, etc.

However, for records maintenance, the rule does not provide any details or guidelines, but it simply states that the government agency shall maintain classified information in a safe place and shall issue a regulation on the maintenance of classified information in compliance with the recommendations of security organisations. The head of a government agency may be allowed to destroy classified information after obtaining consent from the NAT (National Archives of Thailand, 2016b).

RMOS 2001: further remarks

RMOS 2001 requires classification of public records depending on their degree of secrecy, thus it is helpful for records management when the retention schedule is set in accordance with the classified information scheme. It may save time and make arranging of records easier in practice. For recordkeeping practices in government agencies, RMOS 2001 specifies that the head of a government agency should appoint an official to be the registrar to perform the task of records manager, although at the same time its effectiveness depends on whether the official is trained in records and archives management.

3.5.5 The National Archives Act 2013 (NAA 2013)

In 1952, when the NAT was established, there was no regulation to protect the archival materials. “UNIT 3 Laws and Rules in Regards to Archives” of Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) elaborated the rules and laws the NAT’s practitioners should know when conducting archival practices, especially archival services. These laws were RPMORM 1983, OIA 1997, and Rule of the Fine Arts Department on Access Policy at National Archives for Research Purpose B.E. 2533 (1990).

UNIT 3 also pointed out the problems and obstacles for the NAT without (at that time) any specific law to officially endorse archival operations in the country were as follows (Fine Arts Department, 1999, p. 40) as follows. Firstly, the NAT’s mission (to acquire archival materials at national level) could not be achieved properly because the NAT could not take any actions to make government agencies to comply with RPMORM 1983. Secondly, there was inadequate financial and organisation support to sustain archival affairs in academic areas and amongst the practitioners. There was low progress for advancement of archival professionals in

academia and in career. Thirdly, there was no regulation to protect archival materials under private's custody. There was no rule to prohibit exporting or selling the archival materials abroad.

However, it is important to note that there was no significant change after the publication of the 1999 Handbook despite of a call for regulation to protect archival materials, until the National Archives Act was promulgated in 2013. The Fine Arts Department responsible for archival affairs in Thailand put much effort to issue drafts for the NAA (Fine Arts Department, 1999, p. 40). The Act was designed to help the NAT to collect and preserve archival materials, provide archival services for research purposes, disseminate knowledge about archives principles in Thailand and worldwide (Fine Arts Department, 1999, p. 40).

The Act aims to protect and preserve the national treasures (archives). In Article 3 the NAA 2013 distinguishes clearly the meaning of "records", "archives", "public records", and "private records". In Section 2, the Act legalises the NAT's authority over public records acquisition. In Section 4, the Act supports records and archival affairs at a national level by setting up a specific committee and fund. The law establishes a retention schedule for official records held in the public sector and seeks to ensure citizens' right of access to public information (National Archives of Thailand, 2016c).

The National Archives Act 2013 protects the archive collection as a national treasure by prohibiting any reproduction, alteration or export of the records. Also, records are not allowed to be arbitrarily destroyed by government agencies without consent from the NAT. Furthermore, it requires government agencies to establish a retention schedule consisting of details of the types of records, the period of storage, the condition, and they are required to send this schedule to the NAT. This requirement facilitates the work of archivists at the NAT to control the public records in administration. Significantly, the Act clearly entrusts records responsibilities and authority to the NAT. This is very helpful to the NAT for the acquisition of archives from government agencies. It also sets up a National Archives Fund for financial support of any activities related to archival affairs.

The National Archives Act 2013: application, problems, and further remarks

The NAA 2013 is consistent with the previous three pieces of archival legislation (the RPMORM 1983 and 2005, the OIA 1997, and the RMOS 2001). The NAA 2013 is the particular law supporting the legal status, authority, and responsibilities of the NAT. Also, the NAT receives annual funds under the NAA 2013 to operate archives management affairs. The NAA 2013 aims to protect archives (as national heritage) from the loss of historical records through poor recordkeeping and illegal export overseas (Vinasandhi, 2015, p. 3) thus the NAA 2013 imposes penalties on those who illegally export or damage the quality of the archives which are national treasures. However, no penalty is imposed on government agencies that do not manage the records properly or do not transfer their non-current public records to the custody of the NAT. This may be seen as a gap in the law which leads to the widespread failure of public records acquisition from government agencies.

By 2014, due to the short period since the NAA 2013 was promulgated, not much change in records and archival operations had been seen. It was necessary to promote the NAA 2013 to the public to help better implementation. The National Archives Fund was set up, but had not yet started work in 2014 when the author collected the interview data.

A big criticism of the NAA 2013 is that it does not give the NAT mandatory power over government agencies. As a result, there are not many improvements from earlier standards, especially “UNIT 3 Laws and Rules in Regards to Archives” in Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) as mentioned in the previous section. Moreover, the NAA 2013 fails to address the issues of the management of current records as well as the e-records of the governments.

By 2014, the NAT archivists were concerned about a lack of a law enforcing body; an authority responsible for enforcing standards and legal obligations. This was another crucial point to be considered because even the latest legislation like the NAA 2013 still did not have enforcing body (Int.5). The situation was apparently loose since although the standards were created, it was still optional for organisations to apply the standard or not. An archivist suggested that perhaps the enforcing body should be the Prime Minister's Office or the NAT (Int.1).

Furthermore, there was a question about which organisations should be the central agency to impose standards. Perhaps it should be the NAT because it had funding for archival affairs, according to the NAA 2013 (Int.5), and it was specified in the Act that the NAT was responsible for creating standards for recordkeeping in public sector. The role and duty of the NAT should be changed by the Act in theory as the NAT should play active role to impose standards for recordkeeping in government agencies. The NAA 2013 specifies that archivists must set standards for the government agencies, but the archivists did not do this task (Int.5). The educator points out that the Act did not provide a practical method of practice and it was essential to produce guidelines for the practitioners (Int.15).

3.5.6 Analysis of the legislation concerning recordkeeping culture in Thailand

This section discusses six observations of the legislation and regulations on recordkeeping practices of Thai archives as follows.

Firstly, the legislation set definitions of what records and archives are in principle. This shapes the framework for archival professionals at national level. Table 3-3 below shows the definitions of the terms concerning records and archives management in the public sector given by different pieces of legislation.

The definitions in the legislation indicate how Thai society, or at least the Thai government, perceived and understood these terms from each period of time when the legislation was enforced. Significantly, the Table shows the changes and development over time as Thailand adjusted to respond to the changing world, for example, Thai law introduced the concept of freedom of information, e-records, e-transactions, etc.

Table 3-3 Definitions of the terms relating to records and archives management

The RPMORM 1983	"Recordkeeping" means work related to records administration from the process of receiving, delivering, maintenance, borrowing, at their disposal (Title 6).	"Document" means official document (Title 6).	"Official document" means document which is the evidence of bureaucratic activity (Section 1 Title 9).
The OIA 1997	"Information" means material that communicates matters, facts, data or otherwise, whether such communication is made by the nature of such material itself or through any means whatsoever and whether it is arranged in the form of a document, file, report, book, diagram, map, drawing, photograph, film, visual or sound recording, or recorded by a computer or any other method which can be displayed (Section 4).	"Official information" means information in possession or control of a State agency, whether it is the information relating to the operation of the State or the information relating to a private individual (Section 4).	"Personal information" means information relating to all the personal particulars of a person, such as education, financial status, health record, criminal record or employment record, which contains the name of such person or contains a numeric reference, code or such other indications identifying that person as fingerprints, tape or diskette in which a person's sound is recorded, or photograph, and shall also include information relating to personal particulars of the deceased (Section 4).
The RMOS 2001	"Classified information" means information according to Article 14 or Article 15 which shall not be disclosed by the order of, and being in possession of or controlled by, a State agency without regard to its matter, which may relate to the performance of the public or private sector, and that information is classified confidential, secret or top secret under this Rule with due regard to the efficiency of the performance of the State agency and benefit of the State (Section 1 Title 5).		
The RPMORM second and additional version 2005	"Electronic record keeping system" means sending and receiving information or documents via electronic communication (Title 4).		

The NAA 2013	<p>“Archive” means any non-current records appraised for preservation as historical national heritage, for education, study and research by registration of the Fine Arts Department (Article 3).</p>	<p>“Public records” mean any records created or received by State agency or staffs of the State agency in action of their duties (Article 3).</p>	<p>“Private records” mean any records created for individual interest (Article 3).</p>
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It is critical to note that each piece of legislation had different purposes, different agendas, and they served different functions through different mechanisms in the government agencies. For example, as shown in Table 3-3, the RPMORM 1983 and 2005 define these terms: recordkeeping, document, official document, and electronic recordkeeping system. These terms are specifically in the context of the government agency domain. The OIA 1997 differentiated definitions of information, official information, and personal information with respect to human rights equality, freedom of information, and privacy. It focused on the right of the citizens to be able to access to data held by state agencies. The RMOS 2001 defined the meaning of classified information to protect government agency information.

Apart from this legislation, definitions of records and archives were also provided in *Principles of Fundamental Administration and Archives Management* (Fine Arts Department, 1999) stating that “in the academic principles, the records are the objects that function as the evidence for meanings and can be in any forms. Records are created, received and preserved by either public or private organisations’ operations for legal or business purposes. The documents for the aforementioned operations can be classified based on the duration of usage to the following category: current records, semi-current records, non-current records, and archives” (Fine Arts Department, 1999, p. 234). Meanwhile the archives are “records permanently preserved in the archives repository. With their permanent values, archives deserve to be kept and are used as the evidence for referring to the organisational operation, showing the history of organisation and serving as the primary information for research purpose. Archives can be divided into 3 types: textual archives, audio-visual archives, and motion pictures/moving images” (Fine Arts Department, 1999, p. 234).

To conclude, Table 3-3 shows the terms “public records” and “archives” were not described in the past, despite the fact that public records and archives were implied in the older legislation. It was not until 2013 when the NAA was promulgated to protect archival documents with national heritage’s perspective, and therefore needed to be defined in statue. In regards to definitions, the author concludes that Thailand has all definitions of the terms relating to recordkeeping in the legislation e.g. document, archives, information, recordkeeping, etc. People expected that the definitions would cover all aspects to manage the records and archives in public

sector properly and the archives as evidence would consequently be preserved at the NAT (Vinasandhi, 2015, p. 5).

Secondly, Table 3-4 shows the scope of the legislation mainly covers public sector agencies. Although the information or records held by the private sector or individuals are mentioned in some parts, they are not the main subject of the laws. The OIA 1997 includes all executive, legislative and judicial organs, with the only exception being the Court during its judicial process.

Table 3-4 Agencies subject to the Law

The RPMORM 1983 and additional version 2005	The OIA 1997	The NAA 2013
"Bureaucracy" means ministry, department, division, or other state agency, whether it is a central administration, provincial administration, local administration, or office in a foreign country, including the Committee (group of persons entrusted by a government agency to perform any act) (Title 6).	"State agency" means a central administration, provincial administration, local administration, state enterprise, government agency attached to the National Assembly, courts only in respect of the affairs not associated with the trial and adjudication of cases, professional supervisory organisation, independent agency of the state and such other agencies as prescribed in the Ministerial Regulations (Section 4).	"State agency" means a ministry, department, division, government agency attached to the National Assembly, Court, the constitutional organisations of Thailand, and such other agencies as prescribed in the Ministerial Regulations (Article 3).

In terms of the NAT's role, recordkeeping practices in the Thai public sector primarily follow the RPMORM 1983 which adopts the records life cycle concept (creation, capture, maintenance, and disposal). The scope of all legislation prohibits the destruction of public records without prior consultation and approval of the NAT. When non-current public records are required to be transferred to the NAT, if the originating agency prefers to keep those records in its custody, the agency must consult with the NAT, create an inventory of those records, and forwarded the inventory to the NAT. The existing legislation clearly states that the disposal of non-current public records, without the consent of the NAT, is illegal. These laws endorse the NAT's authority in the acquisition of the public records if the NAT considered that those public records are valuable for preservation permanently at the NAT. However, the legislation did not authorise the NAT to be involved in the care of the current public records. The NAT could only take action when they

became non-current (Vinasandhi, 2012, p. 1). Nevertheless, without a proper and accurate retention schedule in each government organisation, archivists will not know when public records become non-current and ought to be in their care. Until government organisations want to empty the workplace and dispose of the records, at which point the organisation may or may not in practice send a list of the records to the NAT for disposal approval, archivists will not know what an agency holds.

In 1974, Nilkumhaeng (1974) suggested that the NAT should have independent authority and its responsibility should extend to records management rather than just archives management. From interview data in 2014, it is clear that it was too late when the non-current public records were transferred to the NAT because by that time, some records were already in poor condition or the NAT archivists could not identify how many records were lost from originating organisations. To fix the current problems, there must be standards for recordkeeping in the government agencies. The NAT should play a more active role and exercise its power under the NAA 2013, by acting as a useful advisory body to sustain and support effective recordkeeping systems in the government agencies.

Thirdly, in terms of the impact of the legislation on recordkeeping in government agencies, it is worth noting that, apart from the existing laws and guidelines of the Retention Schedule of Personnel Administration Records 1999 and Retention Schedule of Financial Administration Records 1999 published by the NAT, comprehensive and fully detailed guidelines or procedures on records and archives management for the state agencies and archival practitioners are still lacking. If practical guidelines are provided, they can help standardise recordkeeping practices among the public sector or at least improve the poor recordkeeping system. It is important to provide distinctions between legislation, interpretation, and application which are flexible because it depends on the administrative structure and legal tradition of each country or region. The enumeration of the legislation must be in compliance with the context of the country in which the law is enforced (ICA Committee on Legal Matters, 1997, p. 111).

To achieve better recordkeeping practices in Thailand, especially in the public sector, the archival legislation should be clear and detailed. Due to the legal environment in Thailand, as discussed in this chapter, introducing legislation was just the start of good recordkeeping. It is necessary for Thailand to establish

comprehensive and practical primary or secondary legislation. Also, legislation should leave room for archivists to undertake a variety of initiatives, but there must be other mechanisms e.g. standards, guidelines, manuals, which enumerate more details of processes, procedures, and practices to ensure that archival practices are carried out properly and the recordkeeping system of the country is in an effective condition.

Fourthly, another issue concerning the implementation of the legislation was a lack of awareness and knowledge about recordkeeping. In principle, it is difficult for law enforcement and legal measures to be effective without the enhancement of public awareness, knowledge, and understanding of the concepts and values implied within the laws (Serirak, 2006, p. 132). For example, after the early years of the OIA 1997 enforcement, there were difficulties in government information disclosure practices where the government officials were not accustomed to the principles of information disclosure which was an essential part of their information services. The principles were new and innovative in the traditional Thai bureaucracy. Consequently, government officials had a negative attitude towards the OIA 1997 and regarded it as a burden (Serirak, 2006, p. 122). A similar issue appeared in 2008 when the ETA was enacted. The lawyers and laypersons were not accustomed to the law. In some cases, insufficient knowledge in information technology led to a lack of understanding about ETA 2008, especially many provisions of the law are intimately IT-related and internet-related (Vinasandhi, 2015, p. 11).

Fifthly, another hindrance for effective implementation was the so-called “unintelligible phraseology” of the legislation (Vinasandhi, 2015, p. 11). Wickman (2011, p. 52) gives example case of unintelligible phraseology from Samoa and Tonga where legislation in most countries in that region resembled the laws and traditions of the western powers they had been most influenced by. This was problematic for establishing and legislating of archival institutions in the region.

In Thailand, the issue of unintelligible phraseology could be found in the ETA 2008 which was based upon direct translation from the English texts of the international instruments. It caused great complexity. This Act created a great deal of unresolved uncertainty especially in the electronic contracting context. Vinasandhi (2015, p. 11) indicates that even the IT engineers or the lawyers who were familiar

with information technology still found it difficult to grasp the provisions of the ETA 2008. “Many provisions of this law are the product of literal translation from the English texts of the Model Law on Electronic Commerce and the Model Law on Electronic Signatures prepared by the United Nations Commission on International Trade Law (UNCITRAL)”.

The examples of legal implementation raise the question of how international standards created by the English-speaking world can be successfully implemented in Thailand where the English language (and culture) is not the mother language. Vinasandhi (2015, p. 11) suggests that the “incomprehensive locution” can be avoided if the legislators only approach or contextualise such “foreign concepts” in comprehensible Thai rather than simply translating the foreign texts into Thai word-by-word. After reviewing the literature and collecting the data, the author truly believes that this issue is quite challenging because it is not only about how to translate foreign texts (e.g. laws, standards, guidelines, etc.) into the Thai language in the best comprehensive wording, but the more important issue is how we can convey and transmit the foreign concepts, which may be new and different from a Thai context.

Finally, most importantly, it is not only about introducing a new concept in law in Thailand, but it is also about the concept contrasting with traditions or norms in Thai society which makes legal enforcement processes take some time to be effective. For example, the Constitution 1997 which affirmed the citizen’s right to know and the OIA 1997, made the situation in the public sector significantly different (Serirak, 2006, p. 116). Before the OIA 1997, the government had never been pressured by the law or by the citizen to have a proper recordkeeping system. After the OIA 1997, the records management of all state agencies should be more efficient, systematic, and particularly lead to nationwide linkage in compliance with the OIA 1997 enforcement (Serirak, 2006, p. 123).

Also, one of the key issues was low awareness among citizens about this legislation. By 2006, people did not know how to utilise the OIA 1997 in compliance with their demand to access official information. It is not clear how people could exercise their rights if they did not know the procedures. The citizens were an important factor in successful and effective enforcement. In a democratic society the utilisation of freedom of information is one of the foundations of political

development, transparency, and good governance as the law brings about public participation. The OIA 1997 played an important role in auditing the operational performance of the government (Serirak, 2006, p. 127). Hence, for the NAA 2013 implementation, it is essential to promote the law and to raise awareness of public about the purpose of the archival law (i.e. to serve as guardian of national heritage).

3.5.7 Conclusion

In summary, it is essential to explore the causes that lie behind legislative compliance and to understand how clear, comprehensive, and fully detailed guidelines for recordkeeping practices or standards may have a role in helping to implement the law and to reform non-standardised recordkeeping practices among government agencies. This is the reason why analysing the current legislation on records and archives management in Thailand is crucial to identifying the problems and the gaps, and to helping to justify the importance of the question of implementing standards for archival practices to help solve archival issues in Thailand. Legislation is another factor, alongside standards, that shapes archival practices.

For example, the scope of standards cannot go beyond the scope of the legislation (Int.19). The wording of recordkeeping legislation is crucial for putting together standards because standards must be in compliance with the legislation.

Secondly, laws are good and sacred because they are approved by the national parliament and are difficult to change whereas standards can be revised to respond to the needs of particular groups (Int.20). Laws should enable standards frameworks for archival practices thus laws and standards should fit together.

Thirdly, standards can help facilitate implementation of legislation on recordkeeping (Procter, 2005, p. 60). Examples of standards range from rules, guidance, recordkeeping policies, strategies etc. that may be issued internally by organisations or externally by professional associations e.g. the ISO, the national archives (Shepherd, 2006, p. 10)

This section establishes the legislative environment for recordkeeping practices in Thailand. The four pieces of legislation discussed above are important because they establish archival authority, prohibit records destruction without NAT's

consent, provide for public access to public records, and grant the NAT authority. Also, this section reveals that the legislative framework for records management in the public sector has been there for many years, at least since 1983 provided by RPMORM 1983 and RPMORM 2005. All legislation defines the NAT as a key part of the infrastructure to manage archival materials. The most significant law for the NAT is NAA 2013 which officially endorses the NAT's authority over the acquisition of archival materials and prohibits anyone from exporting archival materials.

However, after analysing the data, it is still difficult to conclude which law has the most impact because we can rarely see any significant development or progress in recordkeeping behaviour from the public sector as a result of any specific law. Although NAA 2013 was promulgated and the author went to Thailand to collect data in 2014, the author rarely saw any changes in the NAT recordkeeping practices. Also, many of the laws do not specify penalties for managing public records inappropriately. The NAA 2013 is the only law that imposes penalties for the damage, destruction, and export of national archival materials. For example, the lack of penalties in the legislation directly affected the accessioning of public records at the NAT and public records, transferred from government agencies to the NAT did not always comply with the rules (Int.1).

The existence of the above legislative framework is helpful for recordkeeping practices in Thai public sector and for the operation of the NAT. However, problems lie in the way the legislation has been implemented because rather than being a duty, recordkeeping practices in the public sector are in most cases, merely a voluntary commitment which depends on the willingness of government officials to comply.

The literature emphasises that any infrastructure for effective archives management must be based on legislation (Luyombya and Sennabulya, 2012, p. 69). Hence it is critical to implement comprehensive legislation to regulate archives management, to provide comprehensive codes for managing records throughout their life, to designate a single authority to take care of public recordkeeping, and to enable archival services to operate with authority when dealing with other government agencies.

The introduction of relevant legislation is a start for effective recordkeeping practices, although the literature review shows that many government agencies still fail to comply with the laws. Legislation about records and archives management and the concepts underpinning the laws, e.g. freedom of information, the right to know, privacy protection, accountability, transparency, records and archives management, cultural heritage preservation, information literacy, etc., are still new to the public sector and the citizens in Thailand and thus it may take time to see effective implementation.

To succeed in law enforcement, all stakeholders need to act actively and properly. Government officials, including the archival professionals in the NAT all over the country, must understand the procedures of the legislation clearly so that they know how to provide information services to meet public requests and can carry out the records and archives operations appropriately (Serirak, 2006, p. 135). For Thai citizens, it is necessary that they know their rights and exercise them in compliance with the law. This will facilitate a mechanism of good governance effectively and sustainably. Most importantly, the public sector and the NAT should ensure that their practices meet recordkeeping standards, so that the information system can support the government's functionality as it should.

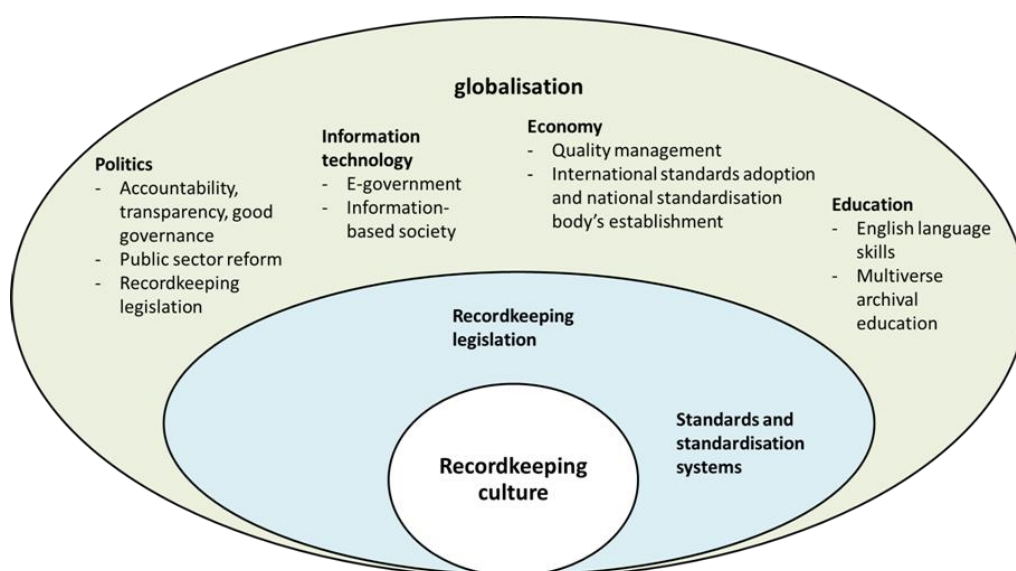
3.6 Chapter summary

To understand the overall picture of recordkeeping culture in Thailand, it is important to understand the context and environment that surrounds record and archive operations. This chapter has investigated various factors shaping archival practice at the NAT (apart from standards and standardisation). It has discussed globalisation and the changing environment with regards to information technology, highlighting political, legal, historical, social, and cultural contexts which might be expected to have influenced the NAT. Rapid changes in Thai society e.g. public reform, e-government, ICT adoption, etc. have led the Thai archival profession to reflect and rethink current archival practices and the efficiency of existing NAT standards. This chapter has also mentioned international discourses around topics such as accountability, transparency, rights to information access, and has considered how they relate to recordkeeping practices in Thailand. Chapter 3 has revealed that Thailand has a time-honoured tradition of recordkeeping, but that some traditions were discontinued at the turn of the twentieth century when Western scientific concepts and methods for recordkeeping practices were introduced to the

NAT. The NAT is not an independent institution, but a government agency under a ministry. Consequently, the public sector and politics also have an influence on the NAT.

In answer to the first research question about the factors which have impacted on archival practices at the NAT, analysis in Chapters 2 and 3, has allowed the author to construct a conceptual model (Figure 3-3) representing these factors. The green circle represents globalisation, a phenomenon which has changed political, social, economic, educational and technological contexts and to which recordkeeping culture has had to respond. The blue circle represents factors of recordkeeping legislation and standardisation that have also shaped recordkeeping practice within Thailand.

Figure 3-3 Conceptualised diagram of factors impacting on recordkeeping culture



This conceptual model will be applied in the case of archival practices at the NAT specifically by integrating it with interview data and other relevant data in Chapters 4 and 5 in order to investigate the validity of the model in the specific case of Thailand. In Thailand, the political, legal, historical, social, and cultural contexts have had considerable influence on the archival practices at the NAT in this century. Thus it is necessary to examine whether the current archival practices under the existing Thai recordkeeping standards are still valid and still serve Thai citizens effectively. The conceptual model will be revisited in Chapters 4-6.

Chapter 4 Archival practices and standards at the NAT

4.1 Introduction

In this chapter the author considers the perspectives of archival professionals at the NAT, particularly their perspectives on standards and standardisation (research question 2). This chapter presents the experiences and opinions of Thai practitioners in order to deepen critical and practical understanding of archival practices in that particular context. It highlights the roles of standards and standardisation in shaping archival practices at the NAT and thereby offers rich insights into archival practices and the way in which recordkeeping standards function at the NAT. It also reveals the perspectives of those working at the NAT towards national and international standards and standards implementation.

4.2 The National Archives of Thailand

This section introduces the NAT's history, its origins and structure. This leads into a discussion of the perspectives of participants (NAT archivists) on how the NAT's history had shaped archival practices up until 2014.

Archival practices in Thailand can be traced back, at least as far as the Ayutthaya era (1351–1767) because that was when Prince Damrong Rajanubhab (1862 – 1943, Father of Thai history, historian, founder of the modern Thai educational system and the modern provincial administration) found that “the archives” were an old tradition of the royal palace, responsible for the recording of events and the keeping of records in the Astrology Hall (National Archives of Thailand, n.d.). This archival task in the royal court was an inherited tradition which lasted until the Rattanakosin era (1782-present). For the Rattanakosin era, there is evidence revealing the traces of archival practice in this Thai tradition. The evidence is the document showing the process of re-engineering the budgeting of ‘Krom-Pra-Alak’ or office of private secretary in 1896, stating a request to transfer a unit of ‘recording the event’ to the Government Gazette unit to set up as an archives unit in 1899 (Srichumpuang, 2013, p. 1).

It is important to note that in Thailand, firstly, archives and archival practice were related to recording events from the start. Secondly, the task of recording the events was considered to be a tradition of the royal court so it must be performed

continuously until present day. Lastly, the fact that archives and the task of 'recording the event' was related to the royal court historically, may be the reason why the public were not aware of the archives in the past, because it was limited to the upper class or people who worked for the royal court only.

By 2014 when the main data collection phase was conducted, records and archives principles emerged and developed under the framework of the democratic regime. Thailand changed from absolute monarchy to constitutional monarchy or democracy in 1932 so it took some time for records and archives institutions to adopt the modern concepts and adapt their practices. The concepts of transparency and accountability came with the concept of democratisation and the process of investigation systems under the democratic regime.

Chapter 3 elaborated the timeline of the history of Thai archival practice showing that the concept of modern archives in Thailand had changed since King Chulalongkorn during the reformation era (Srichumpuang, 2013, p. 2). By that time, the archive was not just activity of recording the important event, but it also included the official records created by the ministries. The official records were considered to be important and must be kept in the archives.

The NAT has been developed continuously since its establishment in 1952 (National Archives of Thailand, n.d.). Firstly, the NAT adjusted its organisational structure and changed its archival practices to fit with modern and international concepts of records and archives management. Moreover, the NAT extended the scope of operations to the other regions outside Bangkok by setting up a network between the NAT in Bangkok and other regional national archives, since 1993 under the supervision of the Fine Arts department (Srichumpuang, 2013, p. 2) as follows.

4.2.1 History of the National Archives of Thailand

In 1952, the NAT was a section under the Fine Arts Department, Ministry of Culture. According to the Royal Decree on Organising the Fine Arts Department under the Ministry of Culture, the Section of Archives was established in this year. The Section of Archives was structured and operated by two units which were the Important Records Unit and Recording Event Unit. The Section of Archives was situated on Na Phra That Avenue.

In 1958, the cabinet abolished the Ministry of Culture, thus the Fine Arts Department, including the Section of Archives, was transferred to the Ministry of Education. In 1976, the Section of Archives re-located from Na Phra That Avenue to Samsen Road because the office at Na Phra That Avenue was not appropriate for archives repository and preservation (Poonsrisawat, 2006, p. 20). The new building for the National Archives of Thailand was located behind the building of the National Library of Thailand. The scope and responsibility of the NAT were expanded as follows.

In 1987, Thai Film Archive was transferred from the Office of National Museum to the National Archives of Thailand. The Thai Film Archive was responsible for acquisition, collecting, selecting, and preserving the Thai films. Also, the Thai Film Archive provided services for researchers and organised the outreach programs to the public. The Thai Film Archive cooperated with foreign institutions on film affairs (Kootiem, 2005, p. 14).

In 1988 the NAT set up the Archives of Prime Minister General Prem Tinsulanonda, situated in Nakhon Si Thammarat province in south region of Thailand. It was responsible for collecting and preservation of the documents relating General Prem Tinsulanonda (the 16th Prime Minister of Thailand 1980-1988 and the current Head of the Privy Council of the King of Thailand).

In 1993 the NAT established five regional NAT offices. The first regional NAT was the National Archives in Commemoration of H.M. the Queen's 60th Birthday, situated in Chiang Mai province in north region of Thailand, responsible for preserving the archives of provincial administration in eight provinces (Chiang Mai, Lampang, Lamphun, Mae Hong Son, Kamphaeng Phet, Phitsanulok, Tak, and Nakhon Sawan).

The second regional NAT was the National Archives in Commemoration of H.M. the Queen's 60th Birthday, located in Trang province in south region of Thailand, responsible for preserving the archives of provincial administration in five provinces (Trang, Krabi, Phuket, Ranong, and Phang Nga).

The third one was the National Archives in Commemoration of H.M. the Queen's 60th Birthday, located in Songkhla province in south region of Thailand,

responsible for preserving the archives of provincial administration in five provinces (Songkhla, Nakhon Si Thammarat, Chumphon, Surat Thani, and Phattalung).

The fourth regional NAT was the National Archives in Commemoration of H.M. the Queen's 60th Birthday, situated in Yala province in south part of Thailand, responsible for preserving the archives of provincial administration in four provinces (Yala, Narathiwat, Pattani, and Satun).

The fifth regional NAT was the National Archives of Chanthaburi (a province in east region of Thailand) responsible for preserving the archives of provincial administration in eight provinces (Chanthaburi, Chachoengsao, Trat, Rayong, Chonburi, Sa Kaeo, Prachinburi, and Nakhon Nayok).

In 1994 the NAT established two further regional NATs which were; firstly, the National Archives in Commemoration of H.R.H. the Crown Prince's 45th Birthday, located in Ubon Ratchathani province in northeast region of Thailand, responsible for preserving the archives of provincial administration in 19 provinces (Amnat Charoen, Buriram, Chaiyaphum, Kalasin, Khon Kaen, Loei, Maha Sarakham, Mukdahan, Nakhon Phanom, Nakhon Ratchasima, Nong Bua Lamphu, Nong Khai, Roi Et, Sakon Nakhon, Si Saket, Surin, Ubon Ratchathani, Udon Thani, and Yasothon); secondly, the National Archives in Commemoration of H.R.H. the Crown Prince's 45th Birthday, located in Phayao province in north region of Thailand, responsible for preserving the archives of provincial administration in eight provinces (Chiang Rai, Phayao, Phrae, Nan, Phetchabun, Sukhothai, Phichit, and Uttaradit).

In 1996 the NAT set up one regional NAT and one special archive. Firstly, the National Archives of Suphanburi (a province in central region of Thailand) was responsible for preserving the archives of provincial administration in six provinces (Suphanburi, Samut Songkhram, Ratchaburi, Phetchaburi, Kanchanaburi, and Prachuap Khiri Khan). Secondly, the National Archives in Commemoration of H.M. the King's Golden Jubilee was responsible for collecting and preservation of the archives relating to H.M. the King's biography and His royal family's biography, activities of H.M. the King and the royal family e.g. His royal pieces of writings, instructions, speeches, compositions, paintings, photos, records of his voice,

including the documents of his royal projects due to his royal initiatives and other projects in honour of H.M. the King.

In 1997 the NAT established the Hall of Fame of H.E. Banharn Silapa-Archa, the 21st Prime Minister of Thailand. This hall was situated in Suphanburi, H.E. Banharn's hometown. The hall was officially included as part of the Suphan Buri's National Archives. It presented the biography, the achievements of a lifetime's work of H.E. Banharn since his childhood until the period of time when he was appointed Prime Minister by His Majesty the King.

In 2002, according to the Act of Organisation of Ministries, Sub-Ministries and Departments B.E. 2545 (2002), the NAT was transferred from the Ministry of Education to the Ministry of Culture. Also, the status of the NAT was escalated to a level of Office, under the Fine Arts Department.

Generally, the regional NATs are responsible for investigating and approving requests for non-current records disposal from the public sector, according to the RPMORM 1983 and second and additional version 2005. The regional NATs accession non-current records and records aged more than 25 years. The regional NATs have a duty to appraise, to arrange, to preserve the records and to create finding aids. Also, the regional NATs provide archival services to the public and allow the government agencies to deposit their records at the archive. Moreover, the regional NATs are assigned to recording important events in the provinces under their scope (Kootiem, 2005, p. 14).

In theory, the responsibility and mission of the regional NATs are similar to the responsibility and mission of the NAT in Bangkok (Srichantaranit, 2006, p. 41). The differences between them are the collections they hold and the services that they can provide. For example, some regional NATs may not afford to perform the conservation tasks due to lack of human resource and budget. In 2006, archival materials in the regional NAT were accessioned from the government agencies in provinces under the scope of their responsibility. After appraisal, the records were left as unarranged backlogs and inaccessible because the practitioners did not have enough time to create finding aids. At each regional NAT, those collections ready for the public to access were records accessioned from the Office of His Majesty's

Principal Private Secretary. They were available on microfilm and the content related to the reign of King Rama IV – VII (Srichantaranit, 2006, p. 42).

4.2.2 The administrative structure of NAT

The majority of 2014 interview participants in this study were NAT archivists from certain sections, thus it is essential to understand the administrative hierarchy and structure of the NAT. According to the Act of Organisation of Ministries, Sub-Ministries and Departments B.E. 2545 (2002), the NAT in Bangkok is operated and divided into these sections (Kootiem, 2005, pp. 13–14).

The first section was “General Administration” administering the general operation of the organisation including clerical tasks, human resources, budget, building, supply equipment, etc. (Kootiem, 2005, p. 13).

The second section was the “Research and Records Administration Group” responsible for public records accessioning from the public sector. The group studied and analysed the recordkeeping system of any government agency and provides suggestions on records management for public sectors. It set the central standard for recordkeeping systems of the NAT. Also, the group published examples and guidelines on how to create retention schedules for organisations and guidelines for records management. Archivists in this group appraised lists of records transferred from government agencies and approved the records disposal from government agencies. Government bodies could deposit the records at the NAT by contacting this group (Kootiem, 2005, p. 13). Two key tasks of Research and Records Administration Group were; firstly, analysing and appraisal of records; and secondly, managing recordkeeping systems (Fine Arts Department, 1999, p. 16).

The third section was the “Important Records Group” arranging and describing archival materials, including textual and audio-visual archives. Archivists created finding aids to help users access to collections. The group studied and developed the finding aids and retrieval system in compliance with international standards and used technology to create the database (Kootiem, 2005, p. 13). The group also collaborated with foreign archival institutions and exchanges information relating to archival materials (Fine Arts Department, 1999, p. 16).

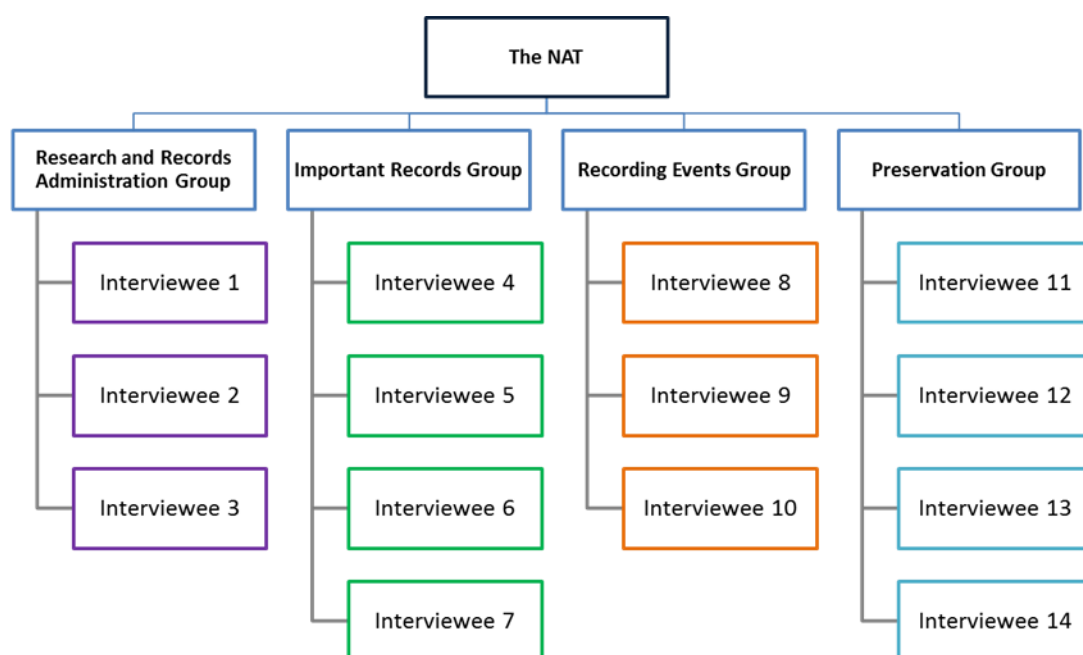
The fourth section was the “Recording Events Group”. Archivists in this group observed, gathered information, and recorded important events e.g. state ceremony, national event, significant ritual, etc. The group carried out a traditional ancient Thai practice of historiography which had been conducted in the past as the royal officers recorded daily events of what happened in the royal court (Saichampa, 2006, p. 17). The group published books every year which were key points of reference on Thai history (Fine Arts Department, 1999, p. 17).

The fifth section was the “Service and Collaborative Archival Affair Group” providing archival services for users, including conducting NAT tours and orientation programs. The group was responsible for collaborating with other foreign archives to develop the archival affairs in Thailand and to enhance the collections in the NAT. Archivists conducted research and engaged modern technology to improve information reference services at the NAT (Kootiem, 2005, p. 13).

The sixth section was the “Preservation Group” responsible to manage and control the NAT archival repository. Archivists prevented collections from any possible damage. The group reproduced copies for use and preservation purposes by creating surrogates in form of microfilms. Archivists repaired and conserved archival materials (Kootiem, 2005, p. 13).

The interview participants were from these groups as shown in Figure 4-1. The author did not manage to recruit any interviewees from General Administration.

Figure 4-1 Research participants recruited from the NAT.



4.3 The NAT organisation and its impact on archival practices

The previous section has outlined the history and administrative structure of the NAT, detailing, within that structure, the position of those members of staff who were interviewed as part of this study. In this section, the perspectives of those participants (NAT archivists) are discussed to show how this history and structure was felt to have impacted on the shaping of archival practices at the NAT.

4.3.1 Origin of the NAT

Firstly, the origin of the NAT and the collections in the NAT were primarily a legacy from Prince Damrong Rajanubhab who collected them because they were valuable (Int.5). Hence the NAT was responsible to preserve these materials rather than working on managing new records. Int.5 criticised that the practice in the Research and Records Administration Group should be regarded as archives administration, not records management as some claim that it was. The clear evidence is the fact that by 2014 the NAT did not play an active role in records management of public records.

Secondly, the so-called “pioneer” archivists (referring to archivists who worked at the NAT in the past) did not work in the Research and Records Administration Group, but they worked in arrangement section (Important Records

Group). This supports the statement that the NAT, since a long time ago, focused more on arrangement and preservation than other activities. As a result, the most stable standards at the NAT are standards for preservation (Int.5). Int.4 also expressed a similar issue which reinforces the point that the NAT prioritised preservation but paid less attention to other practices. She suggested that executives should see importance of each archival process equally, not only focusing on one particular group. Since the executives drove the groups under the NAT in the same direction and prioritised the archival process, however, priority was usually given to the Preservation Group hence the budget was often spent on preservation tasks. This resulted in lack of development in other groups (Int.4).

Finally, the fact that the NAT focused on preserving old archival materials from the 19th century resulted in a lack of standards for records management, and records management did not even exist in the NAT (Int.5). Although in 2014 the NAA 2013 specified that archivists must set standards for recordkeeping in government agencies, the NAT archivists did not perform this task for records management among government agencies.

4.3.2 Structure and status of the NAT

In section of “A Glossary of Archival Terminology” in Handbook of Basic Principles of Archives Management (National Archives of Thailand, 2016a, p. 234), the National Archives is defined as “an organisation responsible for accessioning valuable public records transferred from government agencies”. The National Archives may be either an independent organisation, a division of the department responsible for supply, personnel or finance, or a division of art and culture department, ideally.

The structure and status of the NAT impacted on the recordkeeping of public records at national level. Obviously, the definition from the glossary did not match reality since the NAT was only a small powerless bureaucratic institution. This is worrying because how then can the NAT keep the archival materials of the country effectively?

First of all, the previous section shows that from the beginning the NAT had been a small unit under the department of a ministry. This organisational structure as a small government unit under a ministry resulted in insufficiency of budget and

authority, limited potential for improvement, and difficulty adapting to change. The status of the NAT was frequently discussed by the practitioners providing information as shown below.

“Another critical point has hindered the NAT’s advancement is that the NAT is a Thai bureaucratic body under a ministry. It is not independent and not capable of doing anything whereas in other countries the national archives are more independent and can administer and plan their own budget. The NAT is only small office and operates very slowly” (Int.4).

Secondly, the status of the NAT also affected perception of the archivists towards professionalism as they were aware that only those working at the NAT could officially use the job title “archivist”. Professionalism was dominated by a mind-set indicating that the NAT was the largest archive and the only established archive in Thailand (Int.16). Int.16 mentioned that many CEOs of the national archives in foreign countries were not archivists, especially when businesses had a big impact on survival of organisations.

“Perhaps it was time to consider if the Director of the NAT should be someone from external organisations and be recruited. It was not limited to records and archives management graduates, but that person must be smart to administer the organisation. However, this idea seemed to be unacceptable among Thai archivists. In 2014, the OCSC and Fine Art Department were responsible for position appointments” (Int.16). The structure of the NAT, as a body under a department in bureaucracy, did not allow alternative ways for improvement because the administration within the NAT must conform to bureaucratic rules e.g. in this case the NAT could not let outsiders be chief executive.

Thirdly, a good aspect of the NAT status was that a governmental body was required to implement any standards in workplace. Int.10 explained that when government agencies were inspected, they must be able to answer what standards were implement and how they were implemented. In theory, the top management must give orders to subordinates to implement standards, to have guidelines for implementation, and to audit if employees actually used the provided guidelines. Significantly, this could create a greater possibility to adopt international standards in the NAT because standards were a part of national policy in 2014 (Int.10).

Fourthly, the NAT had a small budget just like other governmental bodies under a Department. The insufficient budget was always a big reason for ineffective recordkeeping practices. Int.5 described that generally the strategy of organisation should be set from the same direction derived from the Ministry and the Department before the NAT defined the mission of the organisation. The project should be planned under the scope of the NAT strategy. In reality, the government officials, including NAT employees, still used a traditional old process by planning each project through the annual budget (Int.5). The NAT employees did not start from top down (national strategy, ministerial, departmental, to organisational planning) as they should. The policy from the NAT executives was not defined clearly e.g. which direction the organisation would go.

Fifthly, the internal structure of the NAT which divided into groups according to archival practices also created problems in the working procedures because it separated practitioners when performing archival operations and practitioners did not integrate completely as they should. Int.5 criticised working separately between each group was NAT's organisational culture and each group had weaknesses. Every group performing an archival operation thus its procedures should be defined coherently to each other. All practitioners should know their job and their duty. Practitioners worked separately and lacked chances to learn about other archival operations outside their group. Although each group had its own Handbook, archival operations were like the roads which were well built, but disconnected (Int.5).

4.3.3 Traditional culture on current practices

The tradition of archival practice in 2014 was derived from the "pioneer" period (Int.5). In the "pioneer" period (referring to 20-30 years ago), a pioneer worked in records arrangement, another worked in audio-visual materials arrangement, and another worked in recording event task (Int.5). They remained performing the same task until they retired, so there was no job rotation. This was a weakness because practitioners misunderstood that learning from the pioneers directly was sufficient for their tasks (Int.5) thus practitioners still adhered to the knowledge from the pioneers' time (when the pioneers were sent abroad to learn about the records and archives management a long time ago).

Moreover, mostly the NAT standards were traditions that had been continuously practiced from the previous-generation archivists and knowledge

transfer from previous employees to new comers (Int.6 and Int.14). In 2014 practitioners followed the traditions and also developed the standards where applicable (Int.14). Surprisingly, the tradition of practices from the previous generation of employees had more influence on the practices and standards in the NAT. The author thinks being obsessed with tradition may result in the fact that new generation of archivists limit their potential to improve and innovate new practices for the work because they rely heavily on the knowledge transferred by the previous generation. Thus it is important to balance between sticking to the tradition that may be out-of-date in some areas of practices and accepting new methods of practices which can improve the NAT recordkeeping practices.

In summary, this section demonstrates that archival practices at the NAT were felt by the interviewees to have been heavily shaped by the origins, traditions and status/structure of the organisation.

4.4 Shaping archival practices

This section describes the sort of activities that are conducted at the NAT and leads into further discussion (in later sections) of; firstly, the two published documents which are used for setting out fundamental principles and standards for carrying out these activities, and secondly, the perspectives of NAT practitioners on standards development and adoption, both local and international.

The NAT follows a life-cycle model as discussed in Chapter 2 and this section is structured in accordance with that model, with the addition of a discussion of recording events which is a specific Thai archival practice and not therefore dealt with by the lifecycle model.

4.4.1 Records management

It is important to mention records management and records retention schedules here because at the NAT, the first step of appraising value of records was to create records retention schedules of government agencies. This was a responsibility of government agencies (as records creators), NAT archivists, and academics. This was a procedure to manage semi-current records that are stored in the creating office (Fine Arts Department, 1999, pp. 115–116).

Records management was described as a “practice that involves all the stages of records life cycle including creating the records, acquiring and delivering, storing, borrowing and disposing the records” (Fine Arts Department, 1999, p. 235). The records retention schedule was “a handbook for guidance on managing non valuable records disposal. The handbook defined different types of records and specified the period that each current record should remain in the originating office. This was to save space, budget and necessary tools for retention by relieving the workload for recordkeeping (Fine Arts Department, 1999, p. 236)”.

Srichantaranit (2006, pp. 13–14) reveals that many Thai government bodies did not create records retention schedules. When the records were no longer used or needed in workplace, officials sent requests for records destruction to the NAT in compliance to the RPMORM 1983 and 2005. Some records on the list might be selected by the NAT to be preserved if assessed as having secondary value. The records which never been appraised at all from the creators were finally appraised at the NAT. Those which were not selected to be kept would be destroyed.

4.4.2 Records acquisition

Acquisition was the first important step of archival practice at the NAT because it increased and enhanced NAT’s collections (Srichantaranit, 2006, p. 11). The policy and rule for records acquisition must be set out clearly and comprehensively in a written document to define the scope of collections and to set a framework for appraisal and accessioning the transferred records. Also, the policy and rule allowed donors or public to understand when they wished to donate records to the NAT. Records acquisition conducted through five methods as follows.

Firstly, accessioning was the most important acquisition method since the NAT accessioned non-current records from the public sector according to the RPMORM 1983 and 2005, OIA 1997, and RMOS 2001 (Srichantaranit, 2006, pp. 11–12). After accessioning, the NAT appraised the records by using internal criteria to choose what to keep permanently.

Secondly, individuals or organisations donated records to the NAT (Srichantaranit, 2006, p. 12). Generally, individuals donating records were important persons in Thailand e.g. famous academics, politicians, statesmen, etc.

Thirdly, semi-current records might be deposited at the NAT under proper terms and conditions between the NAT and creating organisations (Srichantarani, 2006, pp. 12–13). Generally, government bodies having semi-current records or records which were not yet ready to transfer to the NAT choose to deposit the records instead. The NAT kept those records for creators and did not allow any access to the records without official written permission from the creators. The NAT selected which records could be deposited by appraising their value and the records must fit the criteria and the conditions set by the NAT i.e. the information in the records must be non-current for at least two years. When the period of deposit was complete, the records must then be transferred to the NAT as archives. Therefore, records deposit was regarded as an effective method of acquisition by the NAT because it guaranteed that deposited records would be transferred to the NAT in the future.

Fourthly, the NAT might purchase archival materials to fulfil the collections holding in the repository, so that it was as complete as possible to achieve the mission of the archives (Fine Arts Department, 1999, p. 113). However, the NAT rarely used this method of purchase to acquire public records.

Finally, reproduction was also a method to acquire a copy of original records from other archives (Srichantarani, 2006, p. 13). Reproduction aimed to serve the purpose of access and use when there were archival materials outside the NAT relating to the collections held in the NAT. Although the records owner allowed the NAT to make a copy for exhibition or for users, reproduction was not the normal method used by the NAT to complete its collections.

4.4.3 Appraisal

Appraisal meant “the process of selecting records based on the retention schedule of the organisation or the approval of the records appraisal committee” (Fine Arts Department, 1999, p. 236). Appraisal was the first main mission of the archival operation. The criteria for non-current public records appraisal was complex because it attempt to permanently preserve valuable records for future research. Appraisal was a complicated and difficult task which required new and valid methods. Also archivists who appraised public records must have high expertise and skill and experience in this practice because it determined which records would

be preserved forever as national cultural heritage (Fine Arts Department, 1999, p. 115).

Whether the records would be selected to be preserved at the NAT depended on the primary and secondary value of the records (Srichantaranit, 2006, pp. 13–14). In practice, the primary value of the records was appraised by records creators. Then the retention schedules determined how long and where the records would be stored in the creating office and when they would be disposed of. Meanwhile secondary value was appraised at the NAT by archivists. The second step of appraising the value of records was conducted by the NAT archivists who considered whether the records had two values: evidential value and informational value. The archivists might ask for opinions from specialists to appraise the informational value of the records (Fine Arts Department, 1999, p. 122).

4.4.4 Arrangement and description

“Records arrangement system was organised according to the creators. The system represents the role and activities of the creating organisation (Fine Arts Department, 1999)”. Arrangement and description were connected practices aiming to physically and intellectually control the records in the collections so that the archival materials were systematically and continuously organised (Srichantaranit, 2006, p. 15). Archivists defined specific codes for the records to prevent the loss and to save time for retrieval and arrangement in the repository. Records arrangement could be conducted according to the archives management principles which were; firstly, principle of provenance and secondly, original order (Fine Arts Department, 1999, p. 123).

For archival description, archivists described the information by filling in the form “archival description” (Srichantaranit, 2006, p. 15). The archivists provided information including creators (persons, organisations, or donors), sources of records, code, date range, quantity (volume), physical description, brief description, arrangement, structure and relationship to other collections, conditions of access, list of records, name of cataloguer, and date of cataloguing.

Afterwards, archivists created finding aids which were “the tools that documented and controlled all archival materials in the archival repository. These tools assisted users to access the targeted archival records conveniently and used

for creating the automatic database. Finding aids had different forms including inventory, special guide list, abstract and index (Fine Arts Department, 1999)".

4.4.5 Creating finding aids

Creating finding aids was an effective tool to control the records in the repository (Kootiem, 2005, pp. 16–17). When users visited the NAT, they were not allowed to read records immediately. Finding aids were provided to users in the reading room. They were essential tools for users so archivists must create effective finding aids which also respond to users' demand. Effective and good quality finding aids helped users to find the right records. It is apparent that the concept of creating good finding aids was derived from the user-oriented concept - similar to the concept of quality management of the ISO standards where service providers strongly focus on users' demand.

Information from Kootiem (2005) about the different types of finding aids (i.e. inventory, index, and special guide lists) reflects ideas of the NAT that each type of finding aids served different methods and purposes of searching, thus it was essential for the NAT to produce many types of finding aids. However, computer technology i.e. online databases and search engines might reduce the workload of creating different types of finding aids. The finding aids at the NAT are as follows.

Firstly, inventories were publications containing details about the records in the collections/fonds e.g. organisation's history, origin of records, title, date, structure/hierarchy/arrangement, abstract, volume of records, and table of content. Inventories cover all types of materials in the NAT, including the audio-visual materials (Kootiem, 2005, p. 17).

Secondly, index cards were similar to catalogue cards providing the keywords and title to access to textual or audio-visual materials in every collection (Kootiem, 2005, p. 18).

Thirdly, special guide lists were publications serving as the guidance for users searching a particular subject. The special guide lists provided information about the specific subjects so that users knew where to start. If users were interested to research more, they might then see the records relating to that subject.

The special guide lists linked the information from any records in every collection relating to the subject (Kootiem, 2005, p. 21).

4.4.6 Reference service

The NAT prioritised records preservation and as a result, rules and procedures were generated to control access and use of archival materials (Srichantarani, 2006, p. 16).

4.4.7 Recording events

This was also called “Contemporary Records” and referred to “the process of observing all the related events prone to be recorded. It also included noting down the details of all aspects starting from the position appointment, formal procedure, image and voice recording, as well as collecting related records and documents to arrange the drafts of Records of Important Events” (Fine Arts Department, 1999, p. 237). This task of recording events had been continuing over many centuries. The Western modern theory of records and archives management did not include this task as a part of archival practice. Although the NAT adopted international principles of archives management, the NAT archivists still decided to continue recording events.

4.4.8 Preservation

Conservation and preservation involved “the process to maintain the records in a good condition in order that the records were long lasting, not damaged and their life could be prolonged” (Fine Arts Department, 1999, p. 237). Preservation included two archival practices, which were prevention and conservation treatment (Srichumpuang, 2013, pp. 19–20).

Firstly, prevention was a method to protect records from any damage and make the records last as long as possible. To make the records last, archivists must have knowledge and skill about the material of records e.g. what the cause of damage was, how damage might happen, how the environment around the repository might cause damage, how to control the environment, etc. Prevention was regarded as the best practice of preservation rather than the conservation treatment.

Secondly, conservation treatment was a practice to repair any damage caused to archival items. Archivists tried their best to take the archival materials back to their original condition. The archivists conducting conservation treatment must be trained properly to gain knowledge and skills to perform these tasks.

4.5 Standards for archival practices at the NAT

The above section has introduced the main activities carried out at the NAT. This section will introduce the two documents which set out and set standards for those activities. By 2014, two standards were officially published and implemented in the NAT. The first was in the book “วิชาการพื้นฐานการบริหารและจัดการงานจดหมายเหตุ Principles of Fundamental Administration and Archives Management” (Fine Arts Department, 1999). The second was “มาตรฐานการจัดเก็บเอกสารจดหมายเหตุของสำนักหอจดหมายเหตุแห่งชาติ Standard for Records and Archives Preservation of the National Archives” (Fine Arts Department, 2012).

4.5.1 Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999)

The Fine Arts Department acknowledged significance of its role to preserve the national heritage. “The Department put all the effort to keep up with the rapid changes in the society in a timely manner. The Department aimed to enhance the efficiency and capacity of its employees in every field, starting from the archival work (Fine Arts Department, 1999, p. foreword)”. The Department was aware of the importance of the archival materials and determined “to develop our archives initiatives to meet the international standards” (Fine Arts Department, 1999, p. foreword).

The book consisted of eight units covering the NAT, organisation and resources on archives, laws and rules in regards to archives, personnel and profession in archives, archival operational procedures of the Fine Arts Department, quality and standards for archival repositories, quality assurance for archival practices, and international organisations. The book also included appendices and a glossary of archival terminology (see Appendix 10 for more details). Two standards were found in the book. The first standard was called “Archival Practices Standards

in Archives” as a part of Unit 4. The second standard was Unit 6 “Quality and Standards for Archival Repository”.

In 2016, the NAT published the Handbook of Principles of Archives Management (National Archives of Thailand, 2016a) which was regarded as new edition of the Principles of Fundamental Administration and Archives Management (see Appendix 11 for more details). This academic handbook covered the role of archival practices including a glossary of archival terminology, archivists and archival professionals, types of archival records, preservation, archival reference services and the adoption of modern technology for archival search and preservation” (National Archives of Thailand, 2016a, p. foreword). The majority of the content was very similar to the previous version, but it was edited and added more information about some topics.

Significantly, the purpose of the 2016 book was different from the previous version because it aimed at wider target audience, not only the archival practitioners at the NAT. It stated that “the National Archives, the Fine Arts Department hoped that this Handbook of Principles of Archives Management would be a beneficial tool for both archival professionals and the officers in charge of records and archives management. The reader could learn and adopt the knowledge appropriately to meet the goals, to strengthen Thailand’s archives management in the same direction and to preserve the nation’s historical records for the lifetime” (National Archives of Thailand, 2016a, p. foreword).

4.5.2 Standard for Records and Archives Preservation of the National Archives (Fine Arts Department, 2012)

The Standard for Records and Archives Preservation of the National Archives (Fine Arts Department, 2012) had its target readers as the NAT branches all over the country, government agencies and other organisations in the network of the NAT, and people who were interested in archival preservation. The book could be a guideline for recordkeeping in compliance with international standards. It could be accessed online at <http://www.finearts.go.th/nat/parameters/km/item/มาตรฐานการจัดเก็บเอกสารจดหมายเหตุของสำนักหอจดหมายเหตุแห่งชาติ.html>.

The content included standards for keeping archival materials, inventory lists of the archives in the NAT, the process of archival practices at the NAT. The book was for self-learning readers who could possibly understand the content in this book by themselves. After reading the book, it was expected the readers could apply the methods for preservation effectively at their repository. The book mentioned international archival principles as it was stated that archival preservation was important (Fine Arts Department, 2012, p. Introduction) thus the preservation practices must reach the standards requirement which was coherent with universal knowledge and principles in this field.

The author recognises that two NAT standards were both officially written standards derived from the real practices, based on the ways in which Thai practitioners performed archival tasks before they were formalised and written down to be published in the Handbooks containing standards for particular tasks. The author synthesised these two standards according to different approaches to standards categories taken from literature review in Chapter 2, as shown in Table 4-1.

Table 4-1 Characteristics of Thai archival standards

categories of standards	4 types of content of standards (Henderson and Dai, 2013, p. 13)	3 types of content of standards (Brunsson, 2000, p. 4)	2 types of origin of standards (Schaefer and Bunde, 2013, p. 13)	4 types of developer of standards (Bell, 2011, pp. 29–32)	3 types of nature of the standards (Dryden, 2007, p. 133)
Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999)	prescriptive standards, performance standards	standards about being something, standards about doing something, standards about having something	de facto standards	legislative or governmental agencies (i.e. Fine Arts Department), professional bodies (i.e. NAT)	guidelines
Standard for Records and Archives Preservation of the National Archives 2012 (Fine Arts Department, 2012)	metric or measurement standards	standards about doing something	de facto standards	legislative or governmental agencies (i.e. Fine Arts Department), professional bodies (i.e. NAT)	technical standards
	compatibility		de jure	international	conventions

	or interoperable standards		standards	and national standards organisations, other groupings	
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In terms of their origin, the two standards are de facto standards derived from the real practices at the NAT and what the NAT aims to achieve. Archivists could update or add more information to the Handbooks frequently if anything new emerged from daily operations. Some might regard them as ‘half de jure’ as they were not enforced by any law and were not mandatory for other Thai archives, except for the NAT and its regional branches.

In regard to their content, Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) is prescriptive (i.e. Unit 5 Archival Operation Procedures of the Fine Arts Department) and establishes performance standards (i.e. Archival Practices Standards in Archives of Unit 4 Personnel and Profession in Archives). Its content also specifies ‘being something, doing something and having something’ (e.g. Unit 6 Quality and Standards for Archival Repositories and Unit 7 Quality Assurance for Archival Practices). Meanwhile the Standard for Records and Archives Preservation of the National Archives 2012 (Fine Arts Department, 2012) is a measurement standard for NAT archival repositories and preservation and its content elaborates how to ‘do something’.

In terms of their nature, Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) is used as a guideline by the NAT practitioners, whereas the Standard for Records and Archives Preservation of the National Archives 2012 (Fine Arts Department, 2012) is a technical standard for physical archival repositories.

4.6 Perspectives on standards at the NAT

Chapter 2 discusses the definitions, concept, and origins of standards at a more general level, but in reality each practitioner may perceive and understand standards differently, even if they work in the same organisation (e.g. the NAT) or

department. The rest of this chapter seeks to explore these different perspectives and attitudes, particularly amongst the staff at the NAT.

4.6.1 Examples of implementing standards for archival practices

The literature review shows that there were many examples of how organisations implemented standards for their recordkeeping. There was extensive literature on ISO 15489 and ISAD(G) applications which represent their adoption worldwide.

Examples from Europe and Australia e.g. Joseph (2016) highlighted the inability of the regulator of motor sport, the Confederation of Australian Motor Sport Ltd and one affiliated historic car club, the Vintage Sports Car Club, in Western Australia to manage records advocated in ISO 15489. Zazo et al. (2011) examined the relations between ISO 9000, ISO 14000, ISO 27000 and ISO 15489 standardised models through comparative analysis. They acknowledged the worldwide influence of ISO 15489 which was sufficiently well-known throughout the professional community. However, they said that in some countries e.g. Spain some techniques associated with ISO 15489 were not well understood or applied (i.e. work process analysis, comparative analysis, techniques of checking and improvement). Dhérent (2006) shared experience of records management to ensure that the best practice (as outlined in ISO 15489) was implemented for e-records management in the National Library of France. McLeod (2003) revealed results of a preliminary investigation of ISO 15489-1:2001's impact in 2002 and 2003. There was a high level of ISO 15489 awareness among records management and information management profession. She concluded that ISO 15489 was flexible because it could be adopted in stages for different purposes, in different contexts within different constraints. Standard was purposely developed to be generic so it was capable of wide application. Benfell (2002) studied the UK Debt Management Office's approach of e-records management by integrating the implementation of a corporate records management programme based on ISO 15489 with an electronic records management software package's implementation. Robertson et al. (2002) showed that the National Archives of Australia adopted the conceptual foundations of ISO 15489 to develop an extensive range of standards, policies, manuals and guidelines which were designed to provide organisations with practical guidance on how best to meet the challenges of digital record keeping.

In Africa and Asia e.g. Thanye et al. (2015) investigated the appraisal practices of architectural records at Gaborone City Council in Botswana by applying the American Taxonomy approach, ISO 15489, and “Preservation Factors in the Appraisal of Architectural Records” guidelines by Shrock (1996) to cater for the appraisal of intrinsic values found in architectural records. Tsabedze et al. (2012) investigated records management of Swaziland government which revealed that the government did not practice records management in compliance with the Swaziland National Archives Act No. 5 of 1971 and ISO 15489. Alexander-Gooding and Black (2005) shared a study of Jamaican approach to adopting ISO 15489-1:2001 to gain momentum in advancing records and information management best practices and developing effective infrastructures for the delivery of records and information services. They pointed out weaknesses and gaps of ISO 15489-1:2001. For example, it was a voluntary Standard. It did not include archives management, not adequately cover electronic records, and not address vital records and contingency planning. An and Jiao (2004) addressed records management in China and its features. They also evaluated records management in China against items of ISO 15489. They concluded that there was a need for wider promotion of benefits of records management for organisations, agencies, institutions, society and the public and a need to consider diversity and flexibility for standards so standards could be applied in the real world.

There were also examples of archivists applying ISO 15489 to investigate concepts and practices in general in archival discipline e.g. Kastenhofer (2015) investigated the varieties of forgeries found in archives by applying logic of archival authenticity specified in ISO 15489 and found that difference between an authentic and reliable records and a forgery was not at all obvious. Man (2010) presented the approach being taken, the factors affecting, the development of appraisal and retention scheduling, and evaluating its effectiveness in meeting relevant statutory and organisational requirements for records retention at the National Patient Safety Agency based upon the principles of ISO 15489. Hofman (2006) presented standards most relevant to records and archives management and recommended that ISO 15489:2001 was the main and overarching standard for records management since it provided an excellent framework and a broad view of the principles and core issues to help organisations customise records management fit for business activities.

Significantly, there were examples of adopting international standards in organisations and the findings of that literature indicates that there were many factors affecting standards implementation and in real circumstances it was challenging to implement international standards in organisations. For example, Youn (2015) conducted empirical research on localisation of ISAD(G) from cultural and technical perspective by using a case study of a Korean traditional manuscript archives. Youn (2015) found that there were local socio-cultural elements shaping ISAD(G) adoption process as follows. The organisational culture of staff identity, attitude and education, communication patterns, and the connotations underlying the notion of “international standards” became a factor for the initial decision making i.e. credibility of an international standard. The work identity and educational background of staff also affected ISAD(G) adoption e.g. internal resistance caused by increased workload because new system had too many metadata elements to be completed, most staff had limited archival education thus the organisation could not solve problems simply by arguing for standards adoption, many staff had minimal identification as archivists and pronounced identification as historians. The organisation culture affecting ISAD(G) adoption also included physical layout of workplace, everyday occurrences, formal/informal communication, autonomy and independence, specialisation of staff, decentralisation of power and authority, strong individualism in work processes.

Similarly, Oliver (2007) pointed out that organisational culture was a key factor to be taken into account when considering international standards' implementation. She used a case of ISO 15489 implementation strategies to show that standards implementation strategies must be tailored to suit organisations with consideration on cultural environment, including societal legislative and standards frameworks. She concluded that there were three factors to consider when applying international standards. The first was leadership because leadership from senior management made implementation's success more likely to be achieved. The second factor was identifying benefits appropriate to the values prevalent in organisational environment. The third factor was language and communication issues since good translation of international standards helped facilitate acceptability in non-English-speaking communities.

Likewise, Gerst et al. (2005, p. 1), exploring the characteristics and factors which shaped the development and implementation of ICT standards in the

automotive industry, explains that standard setting is a complex social process shaped by various factors. Standard setting also represents embodiments of social relationships between the actors. Their study shows that economic and political considerations triggered standardisation efforts (Gerst et al., 2005, p. 8). Transformation happened because a standards adopter attempted to fit standards and the standardised technology to their specific needs and requirements. Gerst et al. (2005) found that the most immediate factor to influence the nature of transformation was organisational culture. Another factor was economic pressure, and a wide concern with cost reductions. Other factors were standards adopters' perception (regarding standards' benefits), level of coordination, sufficient resources, and absence of confidence.

Additionally, the literature review provides another example demonstrating that applying standards for recordkeeping practices was a real challenge, especially in digital environment. For example, AC+erm (Accelerating positive change in electronic records management) a 3-year multidisciplinary project was carried out by the Information Management Innovation Research Group in the School of Computing, Engineering & Information Sciences at Northumbria University (McLeod et al., 2011).

AC+erm investigated issues and problems of e-records management (ERM) to critically explore practical strategies to support accelerating the pace of positive change in managing e-records. It collected global perspectives of ERM, multidisciplinary and key stakeholder experts towards ERM issues. It developed an appropriate practical paradigm for ERM.

The findings highlighted complexity of the ERM challenge, the interrelationship of people, processes and systems/technology and the predominant and powerful role of people in accelerating positive change. For example, process, systems/technology and people aspects of ERM were inextricably linked. Issues of people were predominant, fundamental and challenging because they related to culture, attitudes, ERM awareness, preferences, knowledge & skills. The ERM's solutions were contextualised and complex. The records professionals might be part of the problem and part of the solution e.g. professionals' demand might be unrealistic or too constraining, but professionals had tools to manage records. ERM implementations' success or failure could be contingent on the presence/absence of

small or accidental factors, e.g. an individual; an event, coincidence or opportunity (McLeod et al., 2010, pp. 17–18).

This literature made the author aware that implementing standards for archival practices in organisation in real circumstances was challenging and had other elements which standards adopters needed to take into consideration. The situation was found to be similarly complex at the NAT as detailed in the following.

4.6.2 Existing standards for archival practices and their efficiency

According to ISO 9000:2000, efficiency is defined as “relationship between the result achieved and the resources used” (International Organisation for Standardisation, 2000b, p. 9). This section presents the perceptions of Thai archivists towards how they saw standards and how efficient the standards were in their opinion. After collecting interview data in 2014, the author presented the data about each topic in this section respectively by using the codes from data analysis which created the themes as follows.

In regards to standards for archival practices of each group, interview data reveals that there were two groups of practitioners: those who said they adopted standards and those who said they did not.

The first group was practitioners who adopted two NAT standards: “Principles of Fundamental Administration and Archives Management” (Fine Arts Department, 1999) and “Standard for Records and Archives Preservation of the National Archives” (Fine Arts Department, 2012). Thai participants referred to two published documents as “Handbook”. Int.7 from the Important Records Group said standards for archival practice were specified in the Handbook. Int.6 explained that many of the NAT standards were traditional practices that had continued from the previous-generation archivists.

In contrast, Int.4 from this group had no opinion because she thought “efficiency depended on an assessment from users”. In her opinion, practitioners might think they perform well but users might think differently. Another reason was she thought efficiency of standards should be considered in the context of each particular task. Int.4 concluded that “the level of efficiency of the standard was quite good because it was compulsory standard” (Int.4). She criticised archivists who

generally viewed it was good enough to have written standards. Hence when archivists assessed their performance they might be satisfied with the current circumstance given that they already had standards, but this was not a correct perception. In her opinion, to succeed it was necessary not only having complete reports of performance and standards sent to auditors, but “through continuously consistent practice” (Int.4). Employees should perform consistently and should follow the standard, not only comply in theory. Employees should have good intentions.

Besides, Int.9 said the Handbook was produced to standardise the practice. The practice in the Recording Events Group was taught by senior to junior archivists. However, there was a big gap between the senior and junior generations, especially in her case where the gap was ten years difference. When the former archivist retired, the one who replaced that position was not taught and trained by the former archivist directly. However, all aspects and details of the working procedure were not described in the Handbook. For instance, the Handbook described how to prepare to record the events, but it did not explain how to choose the best location for documenting and recording the events, so practitioners must learn by their experience.

Moreover, microfilm production in the Preservation Group used the standard for editing microfilm (Int.12). The standard was clearly written in the Handbook published by the NAT and written by former archivists. The standard defines, for example, how to arrange archival materials before microfilming. The materials were arranged by the date written in the records because before B.E.2484 Thailand used a different calendar system, thus the archivists decided to use the date when the records were created and they arrange archival materials chronologically. The standard specified that microfilm must be produced in three copies, two for the repository and one for users. Besides, each microfilm must have one Diazo and Silver Microfilm duplication as back-up for loss or disaster. The standard was not rigid and it was flexible since it was adapted to fit the records. The records changed all the time so the standard must be adapted to fit the records. The new details were added for updating (Int.12). In the repairing and conservation team, Int.13 thought “the standard in the group depended on expertise and delicacy of each practitioner”. She was the only archivist and the others were seven repairing staff supervised by

her and everyone had 25 – 30 years of experience. Practitioners learnt archival practice through a mentoring system.

In terms of Handbook's efficiency, Int.7 thought the standard was efficient because implementing the standard did not create any problems in audio-visual arrangement. Int.7 emphasised that the practice in audio-visual arrangement must have principles and standards e.g. arranging records by organisational structure or its mission. The NAT had principles and it specified criteria. The Handbook provided work procedures in compliance to archival science. Similarly, Int.11 from the Preservation Group rated the standard four out of five because the standard covered many areas and it was practical. However, she pointed out although the standards were written it was useless if practitioners did not read them. Many employees did not learn and read the standards, so having standards was not helpful in reality. Int.11 thought the standards were fairly comprehensive, although a few points were missing in the standard. For example, the former archivists only knew one type of glass plate negative because they did not work on glass plate negatives very often thus some details about glass plate negatives were missing from the standard. Similarly, Int.14 from the Preservation Group considered that the standard was adequate and highly efficient.

The second group was practitioners who used something else (apart from the two published documents) as standards for their archival practices. The interview data in 2014 reveal that there were five things served as standards for archival practice as follows.

Firstly, for Research and Records Administration Group, Int.2 explained standards for her practice derive from the legislation because "it defined the rules and procedures of work procedure". The group used the Table of Defining Retention Schedule and RPMORM 1983 and 2005 for considering records destruction requests and deciding which non-current records should be preserved at the NAT permanently. In regards to its efficiency, Int.1 who applied legislation as standard for her practice pointed out gaps in legislation i.e. the RPMORM 1983 and 2005, OIA 1997, and RMOS 2001. For example, lack of penalties and sanctions in the legislation affected the accessioning of public records at the NAT. Consequently, it turned out the public records transferred to the NAT "did not comply with the rules" (Int.1).

Secondly, standards for archival practices in Research and Records Administration Group were the criteria defined by the OCSC. Int.3 thought the OCSC criteria were quite efficient, but efficiency depended too much on the practitioners and other factors involved. In her opinion, the OCSC criteria were set in compliance to the rule of the bureaucratic system, but in reality quality was focused on having records transferred from the government agencies in the acquisition process. Many government agencies ignored public records, but the NAT collected those abandoned records.

It is interesting that Int.3 insisted she did not have problems with OCSC criteria implementation because she was aware that the criteria must exist in compliance to bureaucratic system rule, although she complained that there was a gap in the OCSC criteria. Int.3 was satisfied with the OCSC criteria as standards because she believed quality of output relied on quality of performance and on how employees worked thus the gap in the criteria was not significant for her. In operations, the employees should focus on the ultimate goal (which was acquisition of the transferred public records), so the employees should overlook some trivial details in the criteria and focus on their task instead (Int.3). The criteria specified that NAT employees should appraise transferred records, at least one collection per year. Some collections were very extensive in quantity so employees might fail to achieve the requirement by performing less than the expectation. Moreover, employees had routine work to finish as well e.g. writing correspondence to other ministries, doing external activities, giving talks at other institutions. Appraisal required time for practitioners to read the lists of requests and to carefully consider the whole collection, but the routine works disturbed and reduced the time archivists should spend on appraisal (Int.3).

To ensure that transferred records (which archivists appraised) were preserved in the NAT permanently, archivists in the Research and Records Administration Group must believe in themselves when appraising the lists of transferred records because it was unknown whether the transferred records would be useful in the future or not. "There were no criteria to measure the accuracy". Int.3 expressed strong view about appraisal as shown below.

"... Searching for historical records was like digging the bin. It was not possible to know at that time whether one out of ten records (that government agencies wanted to dispose) which archivists acquired in compliance to the laws would respond to the users' demand or not. Since we were archivists we must acquire

those records. Sometimes the lists or transferred records might look good, but it could not be certain if the records were a good collection. At this moment, what mattered most was whether we could acquire the public records or not. Standards, for me, were not necessary and did not matter (Int.3)."

Surprisingly, although Int.3 regarded standards as unnecessary (for practice), she thought standards were necessary for the bureaucratic system. With ten years of work experience, she emphasised that standards for archival practice enable this group to have the ability to acquire the records containing four values set out in the archival principles – this was the goal of work because the records transferred to the NAT must be valuable and original. In her opinion, "standards for performance are created to pressure the employees". For example, employees would pass the performance assessment of the OCSC standard (implemented in the group), but she saw standards were a problem for practice because employees already implemented other existing standards e.g. standards of the Research and Records Administration Group and standards of the NAT. She did not like too many standards as she insisted that employees already focused on quality when working: for example, outputs from practitioners were submitted to the head of the group and passed on to the NAT Director for approval. Before archivists started appraisal, they discussed together because they were aware that it was not easy to acquire all records from the public sector thus the quality of the practice was sound and was not improved by the publication of standards (Int.3).

Thirdly, Int.10 indicated that standards were prescribed in the mission of organisation e.g. the structure of the NAT's establishment (informing how employees performed so this could serve as standards), mission and policy of organisation were used as standards which practitioners could rely on and impact on archival practices.

Fourthly, "a job description was standard because it required archivists in the Research and Records Administration Group to appraise the transferred records of 25 organisations per month at minimum" (Int.2). She also pointed out if the government agencies did not transfer their records to the NAT, the practitioners would not have any tasks to perform, so she stated that such external factors also affected the tasks of the NAT practitioners.

Fifthly, Int.8 regarded the in-house rule as standards. She explained that there was no written standard about how practitioners should select what type of

events to record and to write about for the Recording Events Group. Practitioners in the group discussed how to set a scope briefly to reach the outcome – which was to record the events affecting major public and the events relating to nation, religion, and the King. However, there was no strict rule. In her opinion, Int.8 regarded this as an in-house rule determined by internal staff, but there was no inspection from external parties to reflect if this was the most appropriate standard to set their task. Recording Events Group did not engage and interact much with outsiders so there was only the in-house rule.

In summary, it is clear that some of those interviewed in 2014 saw standards in broader terms than just the two documents described in section 4.5. Other things that were mentioned in this respect and in respect of shaping their practices and activities were recordkeeping legislation, OCSC criteria, organisational mission and strategy, job descriptions, and in-house rules. The degree to which these things were seen to lead to efficient or good practice also varied. Some participants discussed strengths and weaknesses in related legislation, some highlighted a lack of any follow-up procedure to examine whether the two published documents used as standards were efficient or not in real circumstances. There was a clear sense however, that many NAT staff members did not think the two published documents (discussed in section 4.5) were by themselves sufficient to lead to good practice, as discussed further in the following section.

4.6.3 Sufficiency of standard for current practices

For the Important Records Group Int.4 thought the NAT standards in 2014 were not sufficient because there were many standards in professional practices and each practice had more details e.g. glossary, outreach, IT in archival operation, etc. New knowledge in this field emerged and increased all the time. Hence in the future if the NAT published standards, archivists should observe and study the countries which were more advanced than the NAT rather than just recycling the old standards in the workplace. Int.4 insisted that “archivists should apply international standards because the NAT aimed to link to other global institutions. After 2014, the archival practice must be more universal”. She believed that it was not beyond NAT’s capability if there was a real determination.

Similarly, Int.6 from this group regarded that the standards as insufficient and needing revision. The critical point in her thought was that NAT employees

should know that the standards existed. “Every employee must know about international standards and recognise that archival practice was a universal task, not only existing in Thailand”. Also, archivists should follow the standards. To facilitate this, awareness must be created. Int.6 expressed her worry that it was not right for archivists to just work in the way they wanted individually or else the task would fail.

For the Preservation Group, Int.11, although, thought the existing standards were sufficient at some levels, “the world was changing and it was necessary to build new standards”. She suggested that employees should think about emerging issues and possible solutions. If there was no solution, it was time to think and create a solution (e.g. problems about glass plate negatives). The practitioners (as standards adopters) must follow standards and report on compliance. In her opinion, consistent inspection was a method for checking the quality of work and measuring the level of standards compliance that the practitioners could achieve. If monitoring was repeated consistently, it showed how well the standards worked and what additional details should be added into the standard (Int.11).

To summarise, the archivists thought that two existing NAT standards were insufficient for the archival practices at some level, especially for the practices in the future. Since the world was changing and there were new issues and new technology in archives management all the time, the Thai archivists were aware that new standards for practices were necessary. Their statements support arguments in Chapter 3 showing that globalisation and the changing environment had a big impact on archival practices and Thai archivists must adapt and learn.

Moreover, the fact that Thai archivists needed new standards provides an opportunity for international standards to be applied in Thai archives in the future. The NAT practitioners also shared the ideas that Thai archivists must know that there were international standards out there and that Thai archivists, as a part of global archival community, should follow such standards when working. This section provides evidence that the existing Thai standards were not thought to be sufficient in the light of wider changes and a desire on the behalf of those working at the NAT to know more about international standards.

4.7 Perspectives on standardisation at the NAT

In this section, the author discusses the perspectives of NAT staff members towards the idea of adopting new standards, particularly international standards, in the future. Although the literature and the interview data show that little has been done to hasten the use of international archival standards in Thailand, it is apparent that awareness of the demand for standards really exists as shown in the previous section. Generally, Thai archives (especially the NAT) recognise importance of standards. The clearest evidence is the existence of the two current standards which are Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) and Standard for Records and Archives Preservation of the National Archives (Fine Arts Department, 2012).

International standards have been described by Spivak and Brenner (2001, p. 96) as “a specification that is accepted and endorsed on a world-wide basis”. At the end of the 20th century when the modern era of standardisation began, the world “defined international standards organisations as those which have nations as members” (Spivak and Brenner, 2001, p. 97). Therefore, international standards mean standards which are derived from international standard-setting organisations such as ISO, ICA, IFLA, etc. The more critical point to address here is that ideally it should be internationally “accepted” standards so practitioners can agree on and follow when practitioners conduct professional duties (Njovana, 1993, p. 98). Recently, international standards have rapidly become a staple of records management programmes and practices worldwide because they make extensive knowledge and expertise available for the benefit of the community (Macintosh and Real, 2007, p. 50).

Generally, in the modern world where standards are significant, national and international standards become important because of the fact that people live in a global economy (Spivak and Brenner, 2001, p. 93). The global economy “demands international standards” thus national standards should be given less prominence, but national standards are still needed to serve a different role (Spivak and Brenner, 2001, p. 91). For the archival profession, the incentives to make people adopt international standards for records and archives practices may not derived from global economy, but there is a similar incentive which is demand for information exchange and more global collaboration from global archival community. The basic international standards should be based on consensus achieved by the archival

community globally with the ultimate goal to accomplish at least a minimum set of standards at the international level (Gonzalez, 1993, p. 73). However, in reality it may not be easy to achieve this because it requires “deliberations of archivists in all countries”.

4.7.1 Necessity and opportunity for the implementation of standards

Chapter 2 contained a more general discussion of standardisation, including the introduction of a framework of aims and principles of standardisation (as mentioned in Table 2-2 Benefits of standards implementation). In this section, this framework is applied to the data from NAT participants to show that they recognised many of the same reasons and aims for adopting standards in their work.

In terms of interchangeability (the second aim of standardisation), standards were necessary because the information in the archive would be expanded and be exchanged with other institutions (Int.15). When archival institutions used different systems, it was not easy for users when visiting various archives thus adopting standards facilitated information exchange between archives institutions.

In regards to standards as a mean for communication (the third aim of standardisation and Principle 4), standards set frameworks for performance and facilitated knowledge and skills transferred from one generation to another generation in the archives. When the standards were established, the working procedures went in the same direction and resulted in unity because recordkeeping system was standardised. For example, there was no rule to apply in the Recording Events Group when archivists decided which events they should record, so archivists decided by their judgment (Int.8). If there was a set of rule or criteria established in the group, archivists could have tools e.g. a checklist to consider for more precise decisions. Int.10 insisted standards were necessary because standards created a more obvious and succinct procedure and set minimum requirements for work so it was clearer for practitioners to recognise if they reached minimum requirements, especially in the Recording Events Group where the range of work varied. Int.11 from the Preservation Group emphasised having standards was essential and beneficial because it set directions for practitioners. Without standards, everything would be unorganised and might cause more damage to the collections. Working procedures in the system might last 20 – 30 years and procedures could not be conducted forever by one employee thus “setting standards

could be a transfer of procedures to next-generation employees or future colleagues” (Int.12).

In regards to safety (the fifth aim and Principle 6 of standardisation), standards were very necessary for archival preservation because “records and archives were important documents to the country and to the world” thus the records must be accessioned to the NAT perfectly i.e. complete in content and collection and NAT must have standards from the acquisition process, in compliance with records and archives administration legislation (Int.5). Int.14 said similarly that standards were necessary because “it was academic principle” e.g. the appropriate temperature to preserve paper was a universal principle. If practitioners did not follow the principle and chose to work arbitrarily, the records might be damaged (Int.14).

In terms of consumer and community interest (the sixth and Principle 2, 3, and 7 of standardisation), standards were important for every profession because they were “a driver to make the professionals perform in compliance with archival science to achieve goal, objective, policy, or plan” (Int.17). Standards implementation influenced professionalism and supported professionalism (Int.15). Apart from standards serving archival professional community interest, standards were also important for interest of organisation as well. Either international or in-house standards were the most important for work in every organisation. “Without standards, reliability could not exist” (Int.16). If employees worked without standards, it was doubtful how organisations could achieve success.

In conclusion, when applying framework of aims and principles of standardisation (as mentioned in Table 2-2 Benefits of standards implementation), 2014 interview data from NAT archivists regarding benefits of standards implementation fit with the framework in four aspects which were interchangeability, standards as a mean for communication, safety, and consumer and community interest.

4.7.2 Contrasting views of mandating the adoption of standards

Standards implementation can be made compulsory or voluntary, as demonstrated by the following example concerning the relationship between the Freedom of Information Act 2000 and Section 46 Code of Practice in the UK, which

can be compared to relationship between the Public Records (Scotland) Act 2011 and the records management requirements.

The key pieces of legislation applying to UK public sector organisations are the Public Records Act 1967, Data Protection Act 1998, Human Rights Act 1998, Freedom of Information Act (FOIA) 2000 and Environmental Information Regulations 2004 (Shepherd, 2006, p. 8). In January 2005, the UK FOIA 2000 came fully into force in January 2005. This law is the most important UK legislation to date to include records management guidance for all public authorities (Shepherd et al., 2009, pp. 227–228).

The Act covers England and Wales and UK government meanwhile Scotland has the Freedom of Information (Scotland) Act 2011. The FOIA provides statutory rights to recorded information held across the whole public sector. It also applies to wider public sector including local authorities, the police, schools and universities and assorted other publicly funded bodies (Healy, 2009, p. 168). The Act imposes duties and responsibilities on public authorities to provide information access, seeking to make information more transparent and accountable to the public. Authorities must know what information they hold and disseminate information proactively through a publication scheme. Authorities should be able to manage and retrieve information effectively and deal with FOIA requests within 20 working days (Shepherd, 2015b, p. 719).

The information services and recordkeeping practice is essential for effective FOIA compliance thus Section 46 of the FOIA 2000 required the Lord Chancellor to issue a Code of Practice on records management. The first Code was published in November 2002 before it was revised and re-published in July 2009. The Code of Practice on records management is guidance on good records management for public authorities (and any other organisations whose administrative and departmental records are subject to the Public Records Act). Applying the Code helps an authority to comply with the legislation; however, failure to comply with the Code is not a breach of FOIA (Information Commissioner's Office, 2016, pp. 2–3).

The Code consists of two parts. Part 1 defines good records management practice applying to all public authorities covered by the Act, and those subject to the Public Records Act 1958 or the Public Records Act (Northern Ireland) 1923. Part

2 defines how public records are to be reviewed and transferred to TNA, the Public Record Office of Northern Ireland (PRONI) or another place of deposit for public records (The National Archives, 2018b). The Information Commissioner's Office (ICO) promotes observance of the code, in conjunction with TNA and the PRONI.

The case example of the relationship between the FOIA 2000 and the Code of Practice show that for effective recordkeeping practice, archivists can use compulsory and voluntary rules together as mechanisms to manage public records. Although the Code is voluntary, the ICO may intervene if authorities fail to meet expected good practice standards. The ICO may provide advice, conduct assessment, issue recommendations, etc.

In contrast to relationship of FOIA 200 and the Code of Practice, the Freedom of Information (Scotland) Act 2002 provides section 61 of the Act to be its Code of Practice for records keeping, records management and records destruction. The Act came into force in January 2005 and introduced a general statutory right of information access held by Scottish public authorities. The Public Records (Scotland) Act 2011 places an obligation on named public authorities to prepare and implement a records management plan which sets out proper arrangements for the management of their records (National Records of Scotland Web Team, 2013). The Act 2011 states that every authority subject to the Public Records (Scotland) Act 2011 must prepare a records management plan which sets out proper arrangements for the management of the public records, submit the plan to the Keeper for agreement, and ensure that public records are managed in accordance with the plan as agreed with the Keeper (The National Archives, 2018a).

When the participants were asked for their opinions and preferences about obligatory versus voluntary standards, the answers became quite indirect. Some practitioners were uncomfortable deciding and some were not certain about their choice. Some though were very determined about their answers. Those who preferred voluntary standards adoption in the NAT made the following two points.

The first point was standard adoption should be voluntarily implemented because "it was difficult to make Thai people do something. If archivists forced government agencies to do, they would not accept it" (Int.1). For example, although the NAT tried to use public records retention schedule models to enforce good

recordkeeping in the public sector, it was not successful. Int.1 suggested that the NAT should summon everyone from government agencies and inform them that current recordkeeping practices in their organisation were not appropriate. It was essential to compromise. Perhaps the NAT archivists should ask government agencies to modify their practice to fit the appropriate procedures as the NAT defined.

The second point was practitioners said there was no hope for standards obligation to be effective. Int.14 in the Preservation Group thought it was useless for standards to be obligatory when there was no penalty. Hence it was totally dependent on capability of each organisation to reach standard requirements and how much that organisation prioritised the significance of standards. Int.8 from the Recording Events Group shared a similar opinion, saying that it did not matter if standards were obligatory because “by 2014 although some standards were already obligatory (and practitioners knew they must comply with the criteria in the standards), practitioners did not pay attention to standards”. Therefore, using motivation by creating a supportive atmosphere in the working environment would be more helpful to establish standards among employees.

In contrast, practitioners who preferred standards implementation should be mandatory expressed opinions as follows.

Int.13 insisted standard must be obligatory, but only in national archives, not in other Thai archives e.g. religious archives or university archives. It would be better if standards were obligatory although she worried that practitioners might not be able to meet standards criteria when they must do other routine tasks which would reduce time to focus on archival practice e.g. attending meetings, holding seminars etc.

The UK participant shared opinion that, ideally, “there should be a degree of mandatory” implementation (Int.18). It depended on what mandatory meant. Threat of imprisonment would not be appropriate for rule breakers. The idea would be whether the rule was respected or not. If archivists came up against difficulties, they should discuss it with colleagues. Certainly, there were situations in which an explicitly formulated external standard should be applied with some authority (input

to electronic networks was a good example). Some things could not be done unless archivists had that kind of authority.

Similarly, Int.19 agreed that “having some enforcement powers were really useful, but they must be realistic, achievable and pragmatic”. If there would be enforceability, it must be fairly flexible enforceability. As well as having a credible regulator or enforcer, they must have powers that enabled them to make pragmatic decisions about what kind of enforcement they should do. Flexibility depended considerably on the context in which standards would be applied.

Moreover, the UK participant gave example of ISO 15489 implementation. “ISO 15489 was the national standard, but it was voluntary” (Int.20). It could be used because it was a records management standard thus could be applied to managing records of a church, a charity, for all kinds of sizes and types of organisation. In UK some standards were mandatory.

Surprisingly, Int.3 thought “standards should stay in academic principle ideally”. If standards were enforced, it might overlap with the existing legislation. It was worth considering how to make the public sector accept standards. She personally thought having standards were better than having none, but whether standards were good or bad was another question. Perhaps implementing standards might not be good because it might not improve anything since she thought good or bad results depended on practitioners.

In summary, Thai archivists preferred standards implementation to be mandatory. Although some wanted standards to be voluntary implementation, it was because archivists saw the 2014 situation which represented failure of mandatory standards so archivists chose opposite option because archivists did not want to be disappointed again.

4.7.3 Thai standards for archival practices in Thailand

The participants shared their opinions and preferences on whether they preferred the NAT to set up national standards to implement in the national archives or adopt international standards for archives practices. The interview data in 2014 reveal most of archivists preferred adopting international standards rather than creating another Thai standard to apply in Thai archives.

Int.15 mentioned the existing Thai standards, created and set up by Thai organisations. This implies it was good and possible to create Thai standards to apply in Thai archives. She suggested that standards could cover many practices e.g. standards for records management, for cataloguing, for preservation, for audio-visual materials, etc. By 2014, there was the Thai Archives Association regarded as a professional association and which intensively distributed academic knowledge concerning records and archives affairs. “It would be great if the association could set standards that were practical and useful for practitioners” (Int.15). However, the association had limitations to do this task e.g. instability of the association, various backgrounds of members, non-practitioner members, etc. Also, some NAT practitioners were not members of the association hence the records and archives professions could not lead the agenda in the association as they should. Moreover, the concept of archives in Thai society was perceived and interpreted in different directions thus Int.15 concluded that there was no standard derived from Thai Archives Association.

Furthermore, there were standards created by private organisations in Thailand. For example, Princess Maha Chakri Sirindhorn Anthropology Centre established digital archives for preserving materials from research in anthropological field work. The Centre collaborated with NECTEC to run the digital archives providing online access to users. Thai Film Archives and Thai Television Station CH7 created their own standards to control their collections (Int.15). These examples show there were people outside the NAT had efforts to create standards to fit the in-house demands and these were Thai standards. Finally, Int.15 emphasised that “there must be standards at national level, but standards should not be too rigid”. It should combine “must” directives and options for standards users to choose to adopt.

4.7.4 International standards for archival practices in Thailand

Apart from Thai standards relating to archives, by 2014 there were gaps in the archival practices and the Thai participants considered that international standards might solve some issues and improve practices in Thai archives. This section discusses three reasons why international standards could be implemented in Thai archives after 2014 as follows.

The first reason is international standards are based on records and archives principles. If any archives institutions adopt international archival principles, they can adopt the international standards that are generated from those principles. Int.16 emphasised that “it was inevitable for archivists to have standards for practices”. For example, ISO 15489 was very similar to Article 1 of the RPMORM 1983 and 2005 in terms of the concept that organisations should plan recordkeeping systems from the beginning since records were created. The RPMORM 1983 and 2005 and ISO 15489 started at the same stage, which was records creation. “When standards were formulated, they were based on the real circumstances taking place in any context, not limited to any developed or underdeveloped countries” (Int.16). Practitioners must learn and analyse how to adapt each standard to practice. The example from her shows that because the NAT adopted life-cycle model and the RPMORM 1983 and 2005 were based on life cycle model thus the NAT could adopt ISO 15489 which also adopted the life cycle model.

The most important point is while some might say each archives worked in a different tradition and did different practices, but the fact is archival professions around the world were facing similar challenges and issues. International standards are created to help archivists overcome challenges because standards serve as a guideline for recordkeeping practice in real circumstance. The differences should not be an excuse for the international community to isolate itself from trans-national collaboration.

The second reason is the findings from previous research manifest that international standards could be applied in Thailand. For example, research on “the records management systems of the office of his majesty's principal private secretary” (Lerdwalayaratana, 2013) applied ISO 15489. ISAD(G) was implemented in the archives as stated in “the creation of a guide to University Council Meeting Records of Sukhothai Thammathirat open university” (Thongkaek, 2006).

Five pieces of research show that ISAD(G) 2nd edition was implemented in Thai archives, i.e. “the creation of archival description of the records of Prince Mahidol of Songkla in the national archives of Thailand” (Churasri, 2012), “guide to professor Kasem Watanachai, M.D. archives and records” (Ratana, 2012), “guide to records of the 1st district church (Chiang Mai-Lamphun) 1933-1979 A.D. at the Payap University Archives” (Suriyawong, 2012), “a special guide list to the record

related to Phraya Rassadanupradit Mahissarapakdi” (Chaipeth, 2013), and “archival arrangement and description: A case study of interior section 1933-1975 Chanthaburi Group” (Suporntham, 2013).

Moreover, the NAT archivists already implemented international standards in their groups. Int.4 said “international standards were applied in Important Records Group and the practitioners adapted standards and made them fit with Thai context”. ISAD(G) was the standard for arranging and creating finding aids and by 2014 the NAT archivists used some elements of ISAD(G), but did not reach the requirements of the ISAD(G) standard because the NAT lacked IT infrastructure. Int.4 thought it might be good to implement ISO standards if possible. Also, the audio-visual arrangement team adopted some elements of ISAD(G) (Int.7). ISAD(G) was mentioned in the Handbook, but the practitioners did not use all elements of ISAD(G). When applying ISAD(G) in cataloguing, the content was nearly full in each element and the NAT archivists chose to adapt ISAD(G) instead (Int.6).

For the Preservation Group, practitioners already implemented international standards but “it was not officially referenced to any particular standards or particular texts” (Int.11). Another example is the standard for microfilm. Practitioners adapted some parts of international standards to make them fit microfilm tasks e.g. setting digital scanning at 300 dpi, producing more silver microfilm and reducing diazo microfilm because silver microfilms lasted longer, producing more than one copy to store in different repositories in case of disaster planning (Int.12).

The third reason is that Thai archival professionals were in favour of applying international standards. Int.3 from the Research and Records Administration Group thought it was better to implement international standards rather than creating Thai standards as “Thai standards might not be acceptable in academic world because standards should be accepted by an institution before they were implemented”. Int.3 thought the universal principle of records and archives management was already accepted and implemented for many generations, so it would be good if practitioners adopted international standards.

Int.4 from the Important Records Group insisted that archivists should apply international standards because “the NAT intended to link to other global institutions. In the future, the archival practice must be more universal”. Int.5 thought

international standards should be used as “the starting point”. If there was any factor e.g. the Thai climate rendering archival practices unable to meet standards, then archivists might modify standards. At least practitioners should depend on international standards because the NAT archivists did not perform archival tasks solitarily. For example, the definition of “universal” was given by international organisations on archives e.g. ICA to standardise archival practices to be universal tasks. It was arbitrary if anyone worked in their way, thus the NAT should capture universal concepts and practice in compliance with standards, although definitions of standards might depend on personal aspect. The NAT applied the Thai standards, but Int.5 suggested that the NAT, as a national agency, should adopt international standards rather than in-house standards. Similarly, Int.6 suggested that NAT employees must know about international standards and recognise that archival practices were universal tasks, not only existing in Thailand.

For the Preservation Group, Int.11 provided more specific opinions about adopting international standards because practitioners already implement international standards. She believed it was possible to adapt international standards and make them fit Thai culture. Since working in the repository, Int.11 provided examples of archival practices complied with international standards e.g. how to wear properly when working in the repository, how to move the collections, how to clean and control environment in the repository, etc.

4.7.5 Concerns about international standards implementation in Thai archives

Apart from three reasons above for international standards adoption, Thai professionals were concerned about possibilities of adopting international standards after 2014 which the author categorised into seven points as follows.

The first concern was about Thai climate which was different from climate in Western countries. Although some archivists agreed on the idea of implementing international standards, they raised issues that international standards might not completely fit with local context, e.g. the environment in Thailand thus building special environment in archival repositories is necessary. Int.11 explained that existing standards in the Preservation Group was not much different from international standards because “Thai archivists studied the model from abroad”.

Also, foreign experts visited the NAT and stated that each country had different environment resulting in different type of standards adoption.

Similarly, Int.4 gave the example of foreign archives and compared them to what actually happened in the NAT which hindered success of adopting international standards in Thai archives. For example, the NAT preservation standard was based on standards from foreign countries. In some European countries, archives allowed users to read original records if microfilm was not provided. The surrogates might be produced easily because they had high technology, but in Thailand it was still far from that level in terms of storage, preservation, and service. The building, the reading room, and the repository followed design from abroad, but it was not possible to follow foreign methods because they must be adjusted to fit Thai environment. Although, in principle, the staff should wear acid free gloves, but Thai people were not familiar with the equipment so practitioners tended to disregard this step (Int.4).

The second concern was low awareness about international standards among Thai archives. Int.10 from the Recording Events Group who recommended ISO 9000 series implementation in the NAT pointed out that “the level of awareness and knowledge of practitioners about ISO standards was considerably low”. Hence she thought it was essential to understand ISO standards correctly and suggested a policy that archivists must learn about ISO standards and archivists should be able to analyse if standards were applicable for which areas of archival practice. By 2014, there were training courses on Quality Assurance because the NAT (as a government agency) implemented the Public Sector Management Quality Award (PMQA) 2004. However, she was not certain about possibility of adopting ISO standards because of low levels of ISO standards awareness and knowledge of practitioners.

The third concern was that Thailand was a less developed country unlike developed Western countries so implementing international standards might not succeed. Int.3 believed that international standards might not be fully 100% implemented because “the archives in foreign countries worked more efficiently than the NAT so the NAT archivists might not be able to adopt everything like foreign archives” (Int.3). If archivists used ISO standards to control archival practices, in her opinion, it would not work. Int.1 gave example of ISO 15489 which “could be used

for managing e-records, but each ministry still managed its own e-records". Ministry of Information and Communication Technology did not have authority to standardise the records management of the public sector. Consequently, ministries were allowed to have any software and they established their own systems. The administration among Thai public sector might not support ISO 15489 implementation. There must be a central institution to collaborate and operate standardisation seriously (Int.1).

The fourth concern was insufficiency of human resources and financial resources. Int.13 agreed that archivists should adopt international standards, but she was still unsure if standards would be applicable because they did not have sufficient number of staff and the staff did not have opportunity to study or have a field trip to learn about archival tasks properly. Int.14 mentioned financial problems hindering archivists from successfully applying international preservation standards. For example, archivists tried to use acid free packaging for all collections, but it was still incomplete because of financial shortage thus Int.14 concluded that international standards must be adapted when implemented in Thailand.

The fifth concern was about Thai archival materials in the NAT. The quantity of the archival materials was addressed by the participant. Although Int.2 from the Research and Records Administration Group was interested in adopting international standards for the practices, she worried about possible levels of standards application. She thought some factors must be taken in consideration before applying standards. For example, practitioners might not receive transferred public records from the government agencies so how archivists could work in compliance with international standards if they did not have any records to work with. Apart from the quantity of the archival materials, Int.4 mentioned uniqueness of records in each archival institution. She considered it was not necessary to adopt all standards from abroad because the records in each repository were different and working procedures were all unlike. She concluded that it was critical to find a solution on how to use these diverse international standards.

The sixth point was a perceived impossibility to implement international standards in Thai practice. Archivists from the Recording Events Group stated it was not possible to adopt international standards in practice because "the practice of recording events was very unique from international practices and the NAT still

preferred traditional practice” (Int.8 and Int.9). Moreover, “Thai public could not distinguish the concept of Thai archives and concept of universal archives thus the citizens could not tell what they wanted from the NAT” (Int.8). Consequently, Thai citizens could not provide feedback on NAT archival practice because they did not know about records and archives.

The seventh concern was the standards enforcing body. Int.5 in the Important Records Group said the enforcing body - an authority responsible for enforcing standards if they were mandatory – was another crucial point to be considered. Int.5 indicated even the latest legislation in 2014 i.e. the NAA 2013 still did not have enforcing body and it was optional for government organisations to apply standards. Perhaps the enforcing body should be the Prime Minister's Office or the NAT.

Int.1 from the Research and Records Administration Group recalled that the head of her group has asked the Prime Minister Office to host events relating to records management in the public sector because this Office has regulated the RPMORM 1983 and 2005. However, when this group planned to organise events about managing electronic records in public sector, the Prime Minister Office was not interested in hosting events. It was an apparent problem that no agency volunteered to be a host. “There was a question about which organisations should be central agency to impose standards” (Int.1). Perhaps it should be the NAT because it had a mandate for archival affairs from the NAA 2013. Also, it was specified in the Act that the NAT was responsible for creating standards for recordkeeping in public sector. The role and duty of the NAT were changed by the Act and the NAT should play an active role to impose standards for recordkeeping in government agencies. Another problem for voluntarily implementation was NAT’s limited status. The NAT was only an institution under Fine Arts Department so the NAT had low authority and it was under the ministry that had low power and low authority.

In summary, this section reveals that many Thai archives institutions actually applied Thai standards and international standards in 2014. The author suggests that adopting international standards in Thai archives is possible because international standards are based on archives principles (which the NAT already applies) and the archivists are in favour of adopting international standards.

Moreover, the previous literature shows that international standards can be implemented in Thailand and at the present the NAT already adopts some elements of international standards e.g. ISAD(G). The participants addressed specific international standards i.e. ISO 15489, ISO 9000 series. It indicates that archivists were interested in these standards although there were concerns from the participants about international standards implementation in the future.

4.8 Process of creating the Handbook at the NAT

The interview data in 2014 from Thai participants provides remarks on the process of standards creation in the NAT. The participants pointed out some issues relating to creating and drafting the Handbook which was the Basic Principles of Archives Management 1999 (Fine Arts Department, 1999) as follows.

Firstly, the fixed numbers specified in the Handbook were derived from real practices in the past and based on the real outputs of archival performance. In the past, archivists could perform the tasks as much as it was set as minimum criteria in the Basic Principles of Archives Management 1999 (Fine Arts Department, 1999). The handbook specified quantity of work that archivists should perform per month or per year. “The fixed number of quantity was based on the reality and it is practical” (Int.7). The practitioners could actually reach the minimum criteria set in the Basic Principles of Archives Management 1999. Int.16 thought the Handbook was the first important thing thus standards in the Handbook should be revised and developed. There must be follow-up process of practical results to evaluate weaknesses and strengths. The Handbook should set a minimum of work quantity based on reality.

Secondly, the NAT standards were based on international archival principles. Int.7 explained the creation process of the Basic Principles of Archives Management 1999 (Fine Arts Department, 1999). The Handbook provided work procedures “in compliance to archival science” (Int.7). The procedure was described with elaborate care in the Handbook, with illustrations. The Handbook was expected to be used in the regional NATs as well. Int.14 from the Preservation Group said her section applied the NAT standards, especially the repository section which published its standard – The Standard for Records and Archives Preservation of the National Archives (Fine Arts Department, 2012) and this NAT standard was also based on international standards (Int.14).

Thirdly, when the NAT created the Handbook, the employees brainstormed and discussed the content in the draft of the Handbook before it was published (Int.13). If there were any errors in working procedures in the Handbook, it would be fixed. Int.13 emphasised the significance of the Handbook, the Basic Principles of Archives Management 1999 (Fine Arts Department, 1999), which was a standard all practitioners adhered to and use as a framework for archival practices. For example, when practitioners oriented external visitors coming to the NAT to learn and establish their own archive institutions, practitioners used the Handbook and their work experience to teach visitors.

Fourthly, the process of standardisation in Thailand also came from consensus. As a member sitting in the team which created the Handbook, Int.7 explained that “the Bangkok NAT had run consensus before publishing the Handbook”. If the regional NATs experienced any problems from using the draft Handbook, they could report to the writing team immediately, even by phone. The Handbook writers were aware that the collections in each province were unique thus the Handbook must cover the differences of varied collections. Int.12 pointed out that it was impossible to cover every detail in the Handbook. If any problems occurred when the practitioners did their tasks, practitioners would fix it and write it down. Later, the information about the problem would be added to the Handbook. Also, the Handbook was expected to deliver to the NAT’s network e.g. Bureau of The Royal Household or Thai Parliament Archive, who could use the Handbook comprehensively. Int.7 involved in creating the Handbook thought it was appropriate that the Handbook was created based on real cases of the NAT because “the other archives have less variety of archival materials comparing to the NAT collections”.

Fifthly, time management was a problem occurred during the process of standardisation in the NAT. For example, the member sitting in the committee (set up for creating standard for the NAT) did not have time to participate in every meeting. As a result, “it was difficult to achieve agendas in the meetings at the early stage of creating standards” (Int.4).

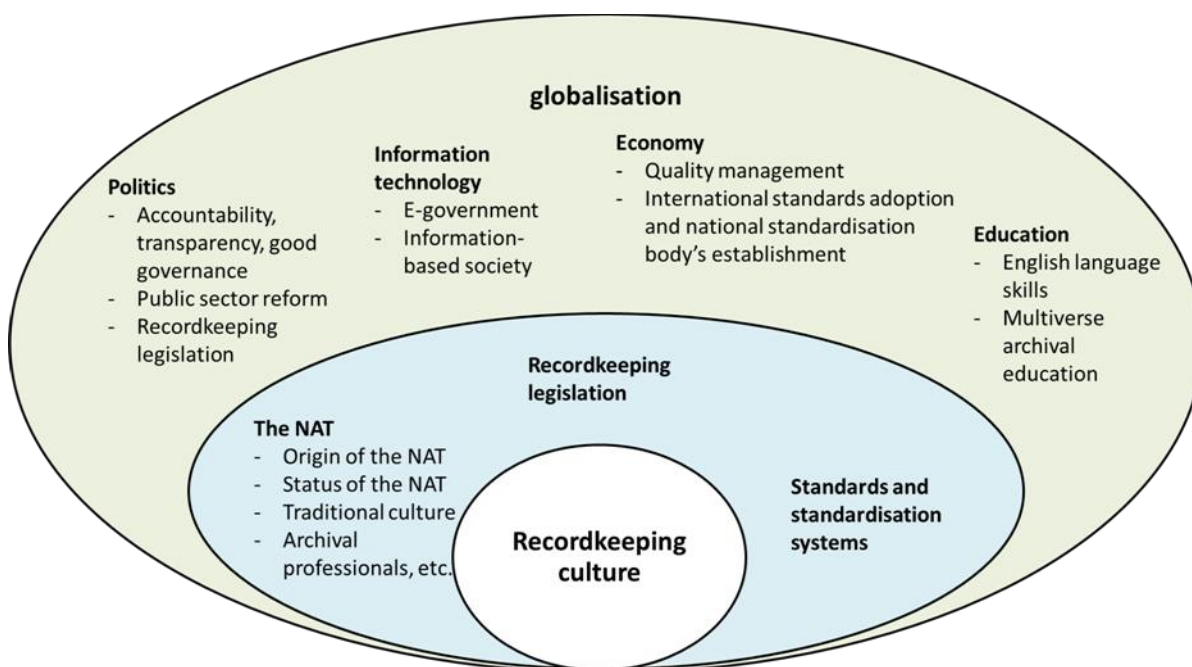
The final issue was level of comprehensive of content in the Handbook. Int.4 criticised that “sometimes the language was too formal and difficult to read”. She suggested that the Handbook should be precise and correct in compliance with the archival principles at the same time the Handbook should be comprehensible and

reader-oriented because the Handbook was not a textbook but was guideline for archival practice. Although planning and writing work process flowcharts were included in the early process of creating the Handbook, Int.4 thought it was necessary to follow up and review the Handbook after implementing the standards.

4.9 Chapter summary

Chapter 4 has focussed on archival practices at the NAT and has sought the perspectives of staff members on the factors, particularly standards and standardisation, which they see as having shaped their practices. As a result, the model developed in Chapter 3 - Conceptualised Diagram of Factors Impacting on Recordkeeping Culture (Figure 3-3) can be further elaborated with a group of factors relating to the origin, status and culture of the organisation (the NAT). The 2014 interview data shows that recordkeeping culture and standards are not just external factors to the NAT, but also operate internally within the NAT as shown in Figure 4-2.

Figure 4-2 Conceptualised diagram of factors impacting on recordkeeping culture



On the question of standards and standardisation in particular, this chapter has discussed two internal standards - Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) and the Standard for Records and Archives Preservation of the National Archives 2012 (Fine Arts

Department, 2012). Interview data has shown that in 2014 these two standards were implemented at the NAT, but that the archivists also used other tools to shape their practices e.g. recordkeeping legislation, OCSC criteria, organisational mission and strategy, job descriptions, and in-house rules. With all this taken together, the majority of archivists agreed that practices were quite efficient in 2014, but they also felt that the two standards alone were insufficient for shaping archival practices at some level, especially in the light of a changing world and new emerging issues and technology in archives management. These findings indicate that there was a gap in existing practices which did not genuinely adopt standards, even the Thai standards. Archivists were aware that new standards were necessary. This provides an opportunity for international standards to be applied in Thai archives after 2014.

As discussed in Chapter 2, standards must gain acceptance from those applying them to be successful thus this research explored the opinions and preferences of NAT practitioners on questions such as whether or not they preferred standards implementation to be mandatory or voluntary, with a variety of views being expressed, e.g. some favoured voluntary implementation because of the past failure of mandatory implementation.

The findings also revealed that most of the participants preferred the possibility of adopting international standards rather than that of creating another Thai standard to apply in Thai archives because participants considered that international standards might solve some issues and improve practices. The 2014 interview data reveals that the NAT already adopted some elements of international standards e.g. ISAD(G). Archivists mentioned specific international standards i.e. ISO 15489, ISO 9000 series. It indicates that archivists were interested in these standards although there were concerns about international standards implementation in the future. The author suggests that adopting international standards in Thai archives is possible because international standards are based on archives principles (which the NAT already applies) and the archivists are in favour of adopting international standards.

Chapter 5 The NAT performance and its quality

5.1 Introduction

This chapter provides a wider examination of archival practices at the NAT, based on a qualitative interpretative approach. It starts by gathering the perspectives of stakeholders of the NAT (users and government agencies) and so called non-users of the NAT and it also represents challenges of quality control, performance assessment, and archival professional development from a staff perspective.

5.2 Quality of archival services at the NAT

There were Thai literature about the NAT users and archival services e.g. archival management in Thailand by Nilkumhaeng (1974), an evaluation of the service quality of the office of the NAT by Kootiem (2005), the study of use and users at the NAT by Poonsrisawat (2006), and the image of the NAT among graduate students of state-owned universities by Saichampa (2006) as mentioned in Chapter 1.

After consulting with the supervisors about methods for examining quality of the NAT archival practices, the author was advised to design a survey to collect data from the NAT stakeholders and non-users about experiences of using archival services, opinions, and expectations. There were three surveys carried out as shown in Table 5-1.

Table 5-1 Surveys to collect data in Thailand about archival services

Focus	Records and archives operation in ministries	Opinion of user towards the NAT and its branches	Opinion of non-user towards the NAT and its branches
Timeframe	December 2013 - 31 January 2014	April 2014 (paper), 17 July 2014 - 16 October 2014 (online)	15 July 2014 - 16 October 2014

Apart from these surveys, the author also asked for permission to access to information about the statistics of the NAT users from 2003 to 2012 (ten years), from the Director of the NAT. The author re-created and presented the data from the statistics of the NAT users in 2003 – 2012 as shown in Appendix 12.

After analysing the data, the author found that the data from the statistics was not easy to use because they were inconsistent in terms of categories. The 2003 statistic data were considerably different from other years. In regard to segmentation, Appendix 12 shows that 2003 statistic used categories of nationality (Thais/foreigners), reading services, reproduction services, searching services, organisations of users. Meanwhile 2004-2012 statistics employed the categories of nationality (Thais/foreigners), genders, level of education, organisations of users, and research topics. Despite this inconsistency, still these data were useful to provide the overall picture and helped the author understand the NAT users and reflections of quality of archival services.

5.2.1 NAT Users profile in 2014

The data and design of the 2003 – 2012 user statistics indicate that the NAT took self-centric perspectives to collect data for its statistics because it focused on the archival services that NAT archivists provided to users. Hence, the 2003 statistics employed categories i.e. reading services, reproduction services, researching services, and orientation services. Employing these categories allowed archivists to focus on what archival materials NAT users actually used.

The author sees the shift in the statistics, after 2003, from self-centric and material-based perspectives of archival services to user-oriented archival services. The 2004 - 2012 statistics show that the NAT determined to know more about its users thus the categories employed in the 2004 - 2012 statistics were users' nationalities, genders, level of education, organisations that users came from, and reasons why users used archival services.

The author thinks that these statistics were helpful to the NAT for designing and improving archival services by examining its users and reasons of user's visit. The shift of perspectives from self-centric to user-oriented approach reflecting in the 2003 - 2012 statistics is a good evidence coherent with argument in Chapter 3 that the public reform required government agencies (including the NAT) to improve its public services to serve Thai citizens and society by adopting customers/users-oriented approaches. This was a good sign that the NAT acknowledged importance of its users and archival services.

Appendix 13 shows how the NAT segmented its users from 2003 - 2012. Analysing the 2003 – 2012 statistics provided the overall picture of the NAT users as follows.

When the author designed questionnaires for the survey ‘Opinion of user towards the NAT and its branches’, she ensured that the data must be measureable and quantifiable. The author used categories of gender, age, level of education, occupations, duration of visits, frequency of visits to identify the NAT users. These demographic variables (from the 2003 - 2012 statistics and data collected in 2014 from the survey) help author understand the profile of the NAT users in different aspects as shown in Table 5-2.

Table 5-2 Profile of the NAT users

	The statistics of the NAT users in 2003 – 2012	‘Opinion of user towards the NAT and its branches’ survey collected in 2014
Number	1,702 users visited the NAT per year on average.	72 respondents in total.
Nationality	The majority of the NAT users were Thais.	
Age		The majority of the respondents age between 25 – 34 years.
Gender	There were more female users than male users on average.	72 respondents in total (45 female and 26 male).
Educational level	The majority of the NAT users had higher education degree (bachelor degree and master degree respectively).	The majority of respondents had higher education degree (39 respondents had master degree, 28 respondents had bachelor degree, and 4 respondents had doctoral degree).
Occupation	Most users were students and government officials respectively.	The respondents comprised of 25 students, 11 educational providers, 7 academics, 4 researchers, and 24 other careers.
Purpose of use/visit	The most popular search topic was history and the second popular topic was searching photos and maps collections. The third popular search topic was	The most three purposes of the visit were to research a topic for publication/qualification, to find out about history for leisure/personal interest, and to find out about history

	economics/politics/and social sciences.	of local respectively.
Duration of visits		Most of respondents have been using the NAT from one to five year(s).
Frequency of visits		The majority of those surveyed visited the NAT once a year.

5.2.2 The non-users profile

After reviewing literature, it was found that the data about non-users of the NAT were never collected and appeared anywhere before. The author decided to collect data in 2014 from Thai citizens who had never used/visited the NAT before. She defined the respondents of the 'Opinion of non-user towards the NAT and its branches' survey as non-users of the NAT.

The author decided to collect data from non-users of the NAT for the first time in Thai research for two reasons. The first reason was to examine the quality of the NAT archival practices by exploring survey data whether the reason non-users chose not to use/visit the NAT relates to quality of NAT services or not. This was alternative method to see reflection on 2014 archival services at the NAT, apart from collecting data from NAT users only.

The second reason was the author believed that, ideally, the NAT as a public institution run by public budget from government was responsible to serve the citizens. The author regarded the non-users as potential users in the future thus their opinions towards archival services and recordkeeping were important and should be taken into consideration in order that the NAT might provide better archival services to meet demands and expectations of Thai citizens. These non-users data might be used for creating new market for different potential groups of users in the NAT.

The author promoted and ran the questionnaires via electronic platform due to geographical limitation that she could not stay in Thailand to collect these data in 2014, thus the author was aware that there might be bias in the data e.g. 224 respondents were only people with internet access (so they could complete the

questionnaire), the respondents might be those preferring to use online services rather than walk-in services.

In 2014, according to Appendix 14, the majority of the survey respondents were female (159/224 = 70.98%). Many of respondents aged between 25-34 years old (73/224 = 32.59%). The majority of the respondents had higher education degree (bachelor degree 133/224 = 59.38%, master degree 76/224 = 33.93%). Apart from the NAT, many of the respondents had never visited other Thai archives (187/224 = 76.95%). Surprisingly, 12.76% (31/224) had visited university archives and 5.76% (14/224) had visited local archives before.

In regard to the reason why the non-users did not use NAT archival services, 106 respondents did not know what information the NAT had, 97 respondents did not know where the NAT was located, and 85 respondents did not have time to visit the NAT [Q.1]. Also, the non-users survey provides interesting data. They revealed that the non-users might visit the NAT for these top three reasons respectively: 148 respondents wished to find out about history for leisure or personal interest, 144 respondents wished to research a topic for publication or qualification and 82 respondents wished to find out if there was anything in the NAT about them [Q.4].

The data from non-users survey convey a strong message that the NAT, especially the Research and Records Administration Group and Important Records Group, responsible for archival services and outreach, should play more active role to promote the NAT and archival affairs (e.g. where the NAT was and what information the NAT held and how this information might contribute to Thai society) and should try to be more visible in the public eyes because the NAT was a national historical and cultural institutions.

5.2.3 The ministries recordkeeping profile

This section discusses results of the ministries survey relating to the quality of the NAT archival practices and services in 2014. Appendix 15 shows that among the total 44 respondents, 39 respondents stated that there were government official(s) responsible for recordkeeping in workplace [Q.2]. The number of government officials, responsible for managing records, ranged from 1 person to 65 people depending on contexts in each office (e.g. size, budget, etc.).

In regard to training, 34 respondents were trained about records management and 30 respondents were trained about computer technology. There were only 15 respondents trained about archives management and only 7 respondents were trained about quality management [Q.3]. Surprisingly, there were only 12 respondents saying there were committees for records and archives management operation in offices [Q.4]. According to recordkeeping legislation discussed in Chapter 3, Thai government agencies should establish their committee to deal with recordkeeping activities, especially when government agencies must dispose public records and require approval from the NAT. By 2014, only 8 respondents stated that the public records were transferred to their office for disposal in compliance to records retention schedules [Q.7]. Meanwhile only 11 respondents appraised the public records by using records retention schedules [Q.9]. In contrast, 14 respondents said their office did not appraise public records (for different reasons) [Q.9]. Also, 23 respondents said their office appraised public records in compliance to RPORM 1983 and 2005 [Q.9].

In regard to recordkeeping legislation as discussed in Chapter 3, data from the ministries survey reveal that in 2014 a majority of 44 respondents acknowledged about recordkeeping legislation, but only 9 respondents knew the NAA 2013 [Q.5]. This data is coherent with the discussion in Chapter 3 that the NAA 2013 was still unknown to Thai public and this law did not make any significant changes in improving recordkeeping practices by 2014. The author thinks that low level of awareness about recordkeeping legislation affected how effectively government agencies enforced and acted in compliance with the regulations, especially how recordkeeping systems facilitated information access for Thai citizens and how the systems secured private data and confidential data that government agencies held.

In terms of quality of archival practice at the NAT, this reflects that the Research and Records Administration Group who was responsible for promoting knowledge and information about records management in public sector must be more active in promoting recordkeeping legislation and relevant standards to help Thai government agencies establish good recordkeeping systems meeting requirements of the law. The author suggests that the NAT should help government agencies by introducing recordkeeping standards that ensure qualities of public records in traditional and digital environment and facilitate information use and access.

The data from ministries survey show similar information which is coherent with literature review. The literature review shows that recordkeeping systems in Thai public sector were underdeveloped. Srichantarani (2006) examined recordkeeping practices of government agencies outside Bangkok. The result of recordkeeping practices in 38 offices and divisions of Provincial Administration Organisation of Chiang Mai, Ubon Ratchathani, Chanthaburi, Suphan Buri, and Trang shows that the task of recordkeeping was not delegated to any particular agency directly. Consequently, there was no particular unit responsible for recordkeeping in these offices. There were one to three recordkeeping system(s) among these agencies. Mostly, many agencies arranged public records by subject headings. Non-current records were stored in the same workplace, without appraisal or disposal (Srichantarani, 2006, pp. 2–3).

5.2.4 Recordkeeping coordination between ministries and the NAT

Chapter 3 mentioned that promulgation of NAA 2013 endorsed official roles of the NAT to be consultants on recordkeeping affairs to government agencies all over the country. The 2014 data from the ministries survey highlighted the passive approach taken by the Research and Records Administration Group in terms of being poor consultant to advise the ministries on recordkeeping practices. The ineffective outreach and weak promotion of recordkeeping standards and legislation accompanied by lack of consistent cooperation between the NAT and Thai government agencies in 2014 were apparently represented in the survey. This led to a crucial consequence: incomplete public records acquisition. The absence of the NAT's intervention in the recordkeeping practices among public sector impacted on poor quality of archival materials in the future.

When asked about whether the ministries appraised public records and where they disposed or transferred public records to, in 2014 there were only 6 respondents who mentioned the NAT [Q.17]. Surprisingly, 26 respondents did not transfer public records to the NAT (for different reasons) whereas only 11 respondents transferred their public records to the NAT [Q.18].

In regards to coordination with the NAT by 2014, only 14 from 44 respondents said their office coordinated with the NAT and its branches [Q.20]. There were 19 respondents receiving support about recordkeeping from the NAT whereas 20 respondents did not have cooperation with the NAT [Q.21]. The most

recordkeeping support from the NAT to these ministries related to consultations on preservation (12 respondents) and consultations on creating records retention schedules (8 respondents) [Q.21]. Apart from coordination with the NAT, 19 respondents said their office also coordinated with other units responsible for recordkeeping systems under their ministry whereas 15 respondents did not contact any units responsible for recordkeeping under their ministry [Q.31].

In terms of records storage, 20 respondents disagreed that there was sufficient space for records storage in office and this number was more than 14 respondents who agreed that they had sufficient space for storage [Q.32]. Moreover, 19 respondents disagreed that their records storage place was appropriate for recordkeeping whereas 17 respondents had appropriate conditions for records storage [Q.33]. This data suggests that the Preservation Group had participated well in supervising government agencies about preserving and storing public records, and promoted implementing of Standard for Records and Archives Preservation of the National Archives” (Fine Arts Department, 2012).

In summary, the data from the survey show that a majority of respondents in 2014 still had less understanding of archives, how the NAT operated, what roles the NAT had and how it related to recordkeeping in government agencies. The data reveal that the respondents at large said they had no need to transfer non-current public records to the NAT for preservation. Moreover, respondents did not see what value public records in their organisation could contribute to society. Respondents only had little interest in what the NAT functioned thus respondents did not cooperate much in terms of records management, public records transfer, appraisal, paper and digital preservation.

The 2014 ministries survey provides overall picture of public recordkeeping practices in seven ministries. The data reflect quality of NAT archival services as a national institution responsible for preserving archives who should support good practices and being effective consultant for government agencies. The gaps and issues appeared in the data from 44 respondents reveal that by 2014 the infrastructure for recordkeeping practice in the country needs to be improved in digital era.

5.2.5 Online archival services at the NAT

Data from the NAT user survey in 2014 reveal that the top three suggestions on archival services to encourage the users to keep using the services of the NAT, according to preference of 72 respondents are as follows [Q.59].

Firstly, 62 respondents wished to be able to access or find out about the NAT archival materials on the internet. Secondly, 49 respondents wished to be able to see examples of the NAT archival materials on the website. Thirdly, 27 respondents wished the NAT could provide delivery services by post for reproduction products of archival materials. These answers from 72 respondents in the 2014 NAT user survey show that the users wanted online archival services and even delivery services so that they did not have to travel to the NAT to read the archival materials. These demands for online services were even more than 25 respondents who wanted the NAT to have more new archival collections to serve its users.

Also, there were other comments from the respondents relating to online or digital archival services. For example, one respondent (UO56) wished to read and see archival materials in digital formats instead of using original materials or microfilms readers [Q.59]. Another respondent (UP6) agreed that archival materials were valuable and deserved to be preserved in the NAT thus she commented that the archival materials should be in electronic formats for remote users and to help preserve the materials by reducing physical use of records [Q.8]. Another respondent (UP26) said that procedures of archival services (e.g. reader registration, ordering and returning archival materials in reading rooms, and collecting duplications) should be modernised [Q.10].

Similarly, data from the non-users survey reveal that the top three suggestions that would be most likely to encourage the non-users to visit the NAT by 2014, according to 224 respondents are as follows. Firstly, 183 respondents wanted to be able to access or find out about archival materials on the internet. Secondly, 145 respondents wanted to be able to see examples of the NAT archival materials on the website. Thirdly, 141 respondents wanted the NAT to make information available about what archival materials the NAT had and where to start looking [Q.3].

The data from the NAT users and non-users survey are concrete evidence that online archival services should replace Thai public demand for onsite archival services. The collected data in 2014 from two surveys are apparent evidence that Thai public preferred using electronic systems over paper-based systems for searching through archives collections in the NAT. The author suggests that the NAT should create digital and online finding aids which can increase public access to archival materials to serve Thai citizens and serve as alternative option for disables who may wish to access to the NAT.

5.2.6 E-records management in ministries

The data from 2014 ministries survey reveals that among total 44 respondents, 23 respondents said there were born-digital materials (e.g. e-records, e-books, CDs, etc.) in their office [Q.6]. The most used finding aids for public records retrieval and search was online databases (28 respondents) whereas the second popular finding aids was lists of records registration (18 respondents) [Q.11]. This data represent that computer technology increasingly used in government agencies. In terms of how Thai government agencies preserved their records, the most popular method was scanning the records into digital formats and keeping them (29 respondents) and the second popular method was organising records inventory check annually (25 respondents) [Q.15].

The data from the ministries survey imply that by 2014 the respondents working in Thai government agencies were aware of e-records and they used computers and IT in their operation. The existence of digital information in government agencies should motivate the NAT to promote standards concerning managing and preserving e-records. However, the data from literature review and interviews indicate that the NAT had not taken any actions in managing e-records in public sector by 2014. This is a big concern and serious weakness because how citizens can ensure that qualities of the born digital public records are still complete when transferred to the NAT.

5.2.7 Conclusion

This section describes the work carried out to collect data in 2014 from NAT users, seven ministries, and non-users of the NAT. The survey data is summarised

to highlight the following four points with regards to the perspectives of those surveyed on the quality of NAT archival.

Firstly, the 2014 non-users survey indicates that the non-users did not use NAT archival services because they did not know what archival materials the NAT had and where the NAT was. This reflects a need for the Research and Records Administration and Important Records Groups, responsible for outreach and providing services, to do more to educate the public about the NAT, its role and duty, and its contribution to Thai society.

Secondly, the 2014 ministries survey, which collected data about recordkeeping practices in government agencies shows that the Research and Records Administration Group of the NAT had a weak and inconsistent relationship with government agencies. The NAA 2013 states that the NAT should provide advice on recordkeeping to these ministries. Other recordkeeping legislation requires non-current public records to be transferred to the NAT since RPMORM 1983 promulgation. However, only 14 from 44 respondents said their office coordinated with the NAT. Only 19 respondents said they received support about recordkeeping from the NAT: consultations on preservation and on retention schedules creation.

The Research and Records Administration Group failed to do their job relating to records management. The 2014 ministries survey reveals that many government agencies under seven ministries used records retention schedules ineffectively. The NAT did not have an overview of how many public records were held by each agency. The lists of non-current records sent to the NAT for approval were the lists of those that officials wished to destroy or keep permanently in their organisations. Archivists only knew the volume of records in the lists, but never knew those that were missing, lost, or undiscovered as they were not in the lists. Therefore, the NAT should coordinate more consistently with government agencies to sustain and advise officials about recordkeeping properly.

Thirdly, the users and non-users surveys in 2014 indicate that the first choice for users and non-users was a desire to be able to access/find out about archival materials on the internet. By 2014, the official website of the NAT only allowed public access to see directories of some collections and examples of selected

collections. Hence the results of two surveys show a demand from respondents that the NAT should provide more interactive online archival services. The NAT may implement international archival description standards e.g. EAD to help represent description data of the collections.

Finally, the 2014 ministries survey reveal that there were born digital records in government agencies (23/44 respondents). There were databases used as finding aids for records retrieval in ministries (28/44 respondents). Despite of e-records existence in ministries, the NAT did not publish any guidelines or standards to manage e-public records. The NAT should produce guidelines and advise government on managing, describing, and preserving e-records.

The author concludes that archival practices at the NAT in 2014 required some improvement, in areas such as e-records management, online archival services, increasing public awareness of archives' significance.

5.3 Quality and quality measurement at the NAT

According to ISO 9000:2000, quality means "degree to which a set of inherent characteristics fulfils requirements" (International Organisation for Standardisation, 2000b, p. 7). Quality assurance is a part of quality management which focuses on providing confidence that quality requirements will be fulfilled (International Organisation for Standardisation, 2000b, p. 9). The literature review shows that the definition and framework for archival practices of NAT practitioners are already established in written publication.

In "Unit 7 Quality Assurance for Archival Practices" the definition of quality for archival practices is defined (Fine Arts Department, 1999, p. 226). "Quality of archival practices means the operating procedures that are appropriate and satisfying to the users to the extent that it can increase satisfaction and enhance the awareness in the importance and values of archives. High quality archives practices can lead to initiating, passing on and developing the work of archivists to meet the international standards". The definition involves meeting the requirements of international standards as a result of performing high quality archival practices. Hence it indicates that there is a relationship between high quality practice and standards.

The quality of archival practices at the NAT is elaborated in “Unit 6 Quality and Standards for Archival Repository” in *Principles of Fundamental Administration and Archives Management* (Fine Arts Department, 1999). It consists of six elements which together build a framework to ensure that the right records are selected for permanent preservation, managed and maintained through time. First of all, the records are acquired from organisations in conformity with the regulations and archival procedure. They are appraised, stored and preserved based on academic principles by NAT archivists with a wide range of expertise and experiences. They provide information for administration and planning and can be used for research purposes. After that comes the second element, conservation procedures. This covers place and methods of conservation, buildings and standards for durable goods and materials used within the NAT, reproduction and microfilming, theft protection, and fire protection. Preservation can help maintain these important archives in pristine condition and prolong their life. Therefore, the high quality and standards of an archival repository is a crucial factor to ensure the protection and preservation of archives (Fine Arts Department, 1999, p. 219). Next, the third element is prevention. The fourth element is monitoring and inspecting. The fifth element is dissemination and the last element is providing computer services. See full details in Appendix 11.

Additionally, there is “Quality Framework of the Organisation” (Fine Arts Department, 1999, p. 225). The quality framework is categorised into four aspects which are Academic Quality, Archival Preservation Quality, Marketing & Support Quality, and Service Quality. See full details in Appendix 10.

The section about NAT administrative structure in Chapter 4 tells readers what tasks the professionals perform under each group. These details are elaborated in *Principles of Fundamental Administration and Archives Management* (Fine Arts Department, 1999). However, by 2014 there was not much data on the quality of archival practices thus the data collected from the Thai participants allowed the author to ascertain what quality was for archivists in real practice. Their perceptions about quality were crucial because perception shaped the framework for performance and influenced its efficiency.

This section discusses quality of archival practices performed by NAT archivists. The data were collected in 2014 through interviewing Thai participants.

The meaning of quality of archival practices defined by the NAT in Unit 7 can be used as a benchmark to analyse 2014 interview data. The data reveal that archivists defined quality differently but most definitions derived from their experience of practicing. The author found that participants' perspectives about definition of quality were coherent with definition in Unit 7 in four aspects as follows.

Firstly, quality referred to "operating procedures". Some practitioners defined quality as having potential and skill to do the tasks. For Int.4 from Important Records Group, quality meant the speed and efficiency of practitioners to provide archival services to users. Int.8 from Recording Events Group defined quality as having skills to perform the tasks e.g. editing skills, analytical skills to select which events should be recorded and published in the almanac, language skills to use appropriate Thai writing language (that conformed to rules made by the Royal Thai Academy), and collaboration skills to work with publishers until each project was finished. Int.9 said quality meant being punctual in submitting the writing draft. She explained that in the past, the books of "Thai Archive" might take five to ten years on the writing process before they were published. In 2014, the time frame for book production was fixed by the modern Thai bureaucratic rules on an annual budget, requiring that the annual budgets must be spent within a year range, thus putting pressure on budget holders to use the publishing budget within a year. Int.10 thought of quality as clarity and accuracy when recording events at a period of time.

For microfilm production, quality was ability of practitioners to produce clear microfilms with great effort to engage new technology. Int.12 focused on quality of microfilm production by engaging with new technology. She wrote a project to request a budget for purchasing a digital machine. The existing machine was a camera-based machine requiring high expertise from photographers. Although the photographer had high skills because she worked in this position for more than 20 years, if the photographer retired it would still be difficult to train someone to replace her. The existing machine was obsolete and had no replacement parts.

Secondly, quality meant to satisfy NAT users. Int.6 considered archival services were "the ultimate goal of arrangement and creating finding aids practices". The Group of Administration Development of Fine Art Department and Ministry of Culture focused on users' satisfaction. As a result, quality for her meant increasing users' satisfaction and developing fast and convenient access to information.

Thirdly, quality meant meeting standards. For Int.3, having quality means “modern government officials could work and achieve goals defined by OCSC in each year”. Similarly, Int.7 (responsible for audio-visual arrangement) pointed out that quality was defined in the requirement criteria in the Handbook - Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) - e.g. whether the collections were ready to be used, if the collections were registered and arranged properly, if the collections were described. When photograph collections had all aspects listed in the criteria, in her perspective, the collections had quality. For the Preservation Group, quality meant “working in compliance with standards” (i.e. Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) and Standard for Records and Archives Preservation of the National Archives (Fine Arts Department, 2012)) to maintain records to last as long as possible, with little damage (Int.11 and Int.12).

Fourthly, quality related to physical conditions of records. Int.3 made the point that good quality of the collection depended on the creating organisation because the records were kept there before being transferred to the NAT. If the records were damaged, the NAT could not do anything much about the condition of the transferred records because the damage was already done. Likewise, Int.13 said quality focused on the records that must be perfectly repaired and without damage e.g. repairing depends on types of paper, its quality, and delicacy of practitioner skills. Int.14 regarded that quality meant records were well preserved; the collections under her responsibility should not be more damaged than existing condition. The collections must be easily accessed for users and must not be lost (Int.14).

Apart from four aspects of defining quality, participants also shared perspectives on quality assurance as follows.

Firstly, Int.16 pointed out that quality was “abstract and quality indicators were outcomes of all archival processes”. She believed a root of quality of archivists derived from self-awareness, responsibility, and determination. These were specified in Codes of Ethics for professionals either ICA ethics, or British, or American codes of ethics.

Secondly, Int.3 from the Research and Records Administration Group criticised that quality of archival practice was difficult to define because “it depended on many factors e.g. how the ministry keeps the records, how complete the records are, etc.” thus the final goal was to acquire the records (which had historical value) as far as possible by using information about the records provided by ministries.

Thirdly, quality assurance in service was very rare in Thailand, but surveys about the user's satisfaction were very common. Due to Int.4's experience as a senior archivist in Important Records Group, her dissertation focused on quality of NAT archival services through evaluation of users. Int.4 applied SERVQUAL and LibQUAL methods to compare the level of expectation with the level of actual services received in five areas i.e. service provider, reliability, physical attributes, information access, and location and surrounding. When she was doing the literature review, she only found English texts concerning quality assurance for libraries and there was little about quality assurance for archives. According to her research, quality assurance consisted of many dimensions i.e. service providers, reliability of service, tangibles, access to collections, and place and environment. Int.4 claimed that “the NAT covered all dimensions and controlled quality by applying standards in every archival process”. Therefore, she thought assessing quality could be done through analysing these dimensions e.g. method of service, information repackaging, table arrangement, problem-solving, quality of surrogates. The opinions of users were a reflection of quality of practitioners' performance as well (Int.4). It is obvious that her perspectives derived from doing research on quality of archival services. However, there are other aspects about quality that must be discussed and examined to improve the practices which is why this thesis is conducted.

To summarise, NAT archivists shared different visions of quality for archival practices. Definitions of quality varied in each group e.g. working in compliance with legislation and OSCS criteria, being able to provide speedy and efficient services to satisfy the users, gaining skills for writing articles and for recording events, producing high quality of microfilms, and preserving the archival materials as far as possible to ensure records' preservation. Some had more specific visions of quality and in one case this referred to standards.

The crucial point is the author saw that despite of existence of definition of quality and standards in Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) archivists perceived concepts of quality in different ways within the definition of the Handbook. Although Handbook connects concepts of quality to standards, only some participants identified this connection in the 2014 interviews.

5.3.1 The barriers of organisations to achieve good quality

The interview data imply that different visions of Thai archivists about quality are only one barrier leading to inconsistent uniformity of processes to achieve good quality in the NAT. After reviewing literature, it is found that theory states that there are four barriers for organisations to achieve good quality (Beckford, 1998, p. 22).

The first barrier is systems and procedures. Organisations function through a more or less bureaucratic process. They are organised through a hierarchical system and maintain that through documents, formal reports, and recordkeeping. Without a standardised approach the organisation may be out of control.

The second one is culture (e.g. organisational, professional and national culture). Culture is a set of attitudinal and behavioural norms that most or all members of an organisation subscribe to either consciously or unconsciously. The culture exerts a strong influence on how members make decisions, carry out their daily tasks, and resolve problems (Beckford, 1998, pp. 22-25). The literature indicates that “culture is often a very strong determinant of behaviour” (Beckford, 1998, p. 23). Culture is also related to accountability since achievement of quality requires errors to be acknowledged, sources of errors to be tracked down and rectified, and people involved to take curative and preventive action. This concept of accountability can be similarly applied in records and archives management.

In terms of culture in the organisation, the NAT archivists provided examples of how culture in the organisation became an obstacle to achieve high quality of archival practice. Int.1 explained that self-improvement among NAT employees depended on personal attitudes. Most practitioners thought they had worked well enough. The organisational culture encouraged practitioners to believe that they were experts, thus self-improvement was regarded as unnecessary. Int.5 suggested that practitioners should brainstorm together to solve the problems, but she was

aware that “the organisational culture of the NAT was very strong”. In contrast, Int.2 thought that the organisational culture did not impact on employee’s performance because the performance depended on personal responsibility towards their job. Likewise, Int.3 said the organisational culture or bureaucratic culture did not matter on meeting the criteria of efficiency and employees should not obsess about the organisation culture.

The third barrier is organisation design. It means the entire design of the information systems of organisations – the entire, both formal and informal, information generating and processing activity of the organisation. These activities should create “the right information, in the right format, at the right time and deliver it to the right decision maker(s)” (Beckford, 1998, pp. 26–27). This concept is coherent with records and archives management that is why organisations must have good information systems because they lead to good quality of products and services. Finally, the last barrier is management perspectives.

5.3.2 Quality assurance

The Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) dedicates one chapter to address quality assurance for archival practices. In “Unit 7 Quality Assurance for Archival Practices” (Fine Arts Department, 1999, p. 226), there are two key elements to assure the quality of archival practices which are (1) Planning, Projects, and Activities, and (2) Assessment (Fine Arts Department, 1999, p. 226). The first element for quality assurance is planning, projects and activities meaning that archivists must outline these in the written documents. There are five products that archivists must create for sake of quality assurance: performance handbook, handbook of quality and performance standards indicators, the model scheme for archival practices development (short term scheme: 1-2 years and long term scheme: 3-5 years), media for knowledge dissemination (in the form of documents and modern technology), and modern and interconnected archives database (which allows information to be shared rapidly within the network). See full details in Appendix 10. The second element for quality assurance is assessment which will be discussed later in this chapter (see section 5.2.3).

The author notices that concepts of quality and quality assurance specified in Principles of Fundamental Administration and Archives Management (Fine Arts

Department, 1999) did not mention any ISO standards for quality management. Perhaps this implies that ISO standards for quality management were not widely accepted among the Thai public sector unlike their considerable popularity among industrial or economic sector as shown in Chapter 2. Despite quality assurance for archival practices defined in Unit 7, specified that there are five products needed to be created to support quality assurance, the 2014 interview data reveal that in reality NAT practitioners used three tools for quality assurance as follows.

The first tool for quality assurance was Handbooks (as required in Unit 7) that elaborated work procedures, standards for practices, etc. Int.16 said “the Handbook was the first important thing for quality control”. Standards in the Handbook should be revised and developed and there must be follow-up procedures with practical results to evaluate weaknesses and strengths of the Handbook. Int.6 insisted that every practice in the NAT followed the Handbook. For reference service providers, there were biannual meetings of Important Records Group. The meetings were organised as a panel for employees to discuss and encourage practitioners to stick to the framework – the existing standards in Handbook. In 2014 the draft of glossary of English – Thai vocabularies in records and archives were being revised by senior experts in open forum. The commentary would be presented to the executives for considerations before being published as a Handbook after 2014 (Int.6).

For Recording Events Group, in 2014 when new employees joined the group, they were told to read the Handbook first (Int.9). Then, new employees were assigned to search for the news online and try to write an article. Later, senior archivists edited draft articles. This routine was appropriate and the Handbook on writing skill was helpful for the staff orientation (Int.9). The Handbook of Important Events Recording Procedure set out working processes clearly and provided guidelines for practice to maintain quality (Int.10). To inspect the quality of work, the first inspector (head of the group) checked the tasks when they were submitted. The next inspector was the superior (beyond the group’s head) and the committee of experts (for vocabulary checking) and committee of experts on specific subjects. Above that was the NAT Director who randomly checked the draft articles or the important piece of writings. Later, the articles would be published (Int.10).

The method of the Recording Events Group was quality control by practice (Int.8). Generally, checking processes run all the time through practice. When archivists selected the events to record, the head of the group had the last word. The decision from a group of three or four archivists might be challenged and rejected if their proposition was not feasible. Int.9 said spelling and writing checks was to evaluate the quality of work in the group. Practitioners were expected to submit the draft articles on time. Afterwards, the experts on the committee gave comments on the draft article. This method mostly depended on skills of each employee. The book of recording events could not afford to have errors because the book became a standard for public e.g. standard of spellings. Hence there were frequent discussions and consultation within the group. The group also organised courses about writing an article.

For the Preservation group, quality control meant “all archivists shared the same working procedures e.g. wearing gloves” (Int.11). The responsibility of archivists who managed the repository was to re-shelve collections when requested thus it was essential for everyone to know the rules and use the same procedures. For photographic preservation, the standards were already specified in Handbook (Int.7). Working procedure was carefully described in the Handbook with illustrations. When staff arranged the records, archivists would recheck the arrangement. Archivists consulted, mentored, and answered enquiries from staff. Archivists used conservation materials e.g. Mylar.

In the microfilm section, new employees must read the guideline about procedures of records editing before performing the task. There was only one microfilm photographer and the photographer had a considerably good record in performance (Int.12). The output of microfilm production was checked sometimes and mostly there was no error, but the problem was the machine. First of all, the machine was the only machine they had. It was an old machine and must be fixed very often. The quantity of outputs was very low because the employee was afraid of overusing the machine which was already in a fragile state. Secondly, the number of staff in the microfilm section was insufficient.

Standards were applied in the repair section, especially the repository section which published its own NAT standard (based on international standards). Int.14 tried to stick to the NAT standard as much as possible i.e. adjusting

temperature for records storage in the repository, using acid-free materials which were rare and imported-only materials. Practitioners followed to the tradition first and then tried to alter the practice when possible” (Int.14). If practitioners found something obsolete or inappropriate, after consulting textbooks or with scientists about the feasibility, practitioners would change the practice.

The second tool was other written documents (apart from five products specified in Unit 7) which were used for quality assurance. They were legislation, rules and statute, organisation’s mission and strategy.

For the Research and Records Administration Group, the public records transfers were in compliance with RPMORM 1983 and 2005, OIA 1997, RMOS 2001 (RMOS) and archivists must abide by the laws (Int.1). To control the quality of appraisal, when appraising the public records, archivists studied the organisational structure of the creating organisation, its history and background, its role and duty, and archivists consulted with this information when appraising lists of records destruction requests (Int.2). Later, archivists made decisions and preserved the records whose content reflected the organisation’s key functions.

For the Important Records Group, Int.5 did not even know what the quality assurance system of the NAT was. She criticised that it was necessary to consider the mission of organisations first when controlling quality, but the mission of the NAT was not clear. Int.5 described that the strategy of organisation should be set by the direction derived from the Department and the Ministry before the NAT defined the mission of the organisation. Quality should be planned under the scope of the NAT strategy. Due to lack of research and development team in the NAT, practitioners did not think of other factors relating to their works (Int.5). It was arbitrary since someone wanted to do something in their own way thus the NAT should “establish universal concepts and do the practice in compliance with standards”. Practitioners regarded archival services as the main mission, but in fact archival practices were more than just providing services.

For the Recording Events Group, Int.10 used the rules and statute to help improve the accuracy and writing style in Thai tradition or Royal ceremony recordings. She considered the rules and statute as a tool for quality assurance.

The third tool for quality assurance was documents relating to assessment e.g. job assignments, biannual assessment, performance assessment forms, etc.

Int.4 from the Important Records Group indicated that quality “could not be controlled by scoring, and the assessment focused on quantity and quality of work”. NAT employees at any rank had superiors to monitor. Staff were under monitoring from archivists every month. To control the services, there was a form to fill every quarter about whether there were errors, how archivists fixed them, how archivists worked, etc.. If practitioners ignored the task, the head of the group would talk to practitioners about the issues. In case of staff rotation (due to insufficient number of staff in the group), staff from other groups might be unable to provide advices about records to users. The group would teach them and provide personal development (Int.4). For example, damaged records were not allowed to be photocopied, so the group would inform staff to tell users. The practitioners were monitored in every working process because practitioners were obliged to follow the rules.

Furthermore, Int.6 from the Important Records Group considered job assignments as standards to control practices of practitioners. For example, archivists were required to arrange a fixed amount of records per month. There were quantity criteria and quality audit criteria e.g. level of editing, level of convenience of use. In 2014, the finding aids were effective at some levels because users could access to information. Practitioners worked under a team system and their performance was assessed through monthly reports. The head of the group read reports and if the reports indicated that practitioners faced any problems, the head would find a solution by discussing about the problems with practitioners.

For the Recording Events Group, there was a control system for quality control which was April and October biannual assessments (Int.8). The assessment evaluated the quality of employees, analytical skills, language skills, writing skills, etc. The head of the group evaluated and the result of the assessment was sent to the employee to read and agree to so employees could improve.

In conclusion, it is noticeable that although the Quality Assurance for Archival Practices (Fine Arts Department, 1999, p. 226) was specified in the Handbook. There were other tools (as mentioned before) used for assuring quality of archival practices at the NAT e.g. legislation, organisational mission, job

assignment, assessment, training courses, etc. The most recognisable thing is that the practitioners mentioned the Handbook very frequently thus it indicates that the Handbook was the most influential tool for quality assurance at the NAT. The fact that an archivist also mentioned the draft of “glossary of English – Thai vocabularies in records and archives” means the NAT regarded that publishing written documents (including the handbooks) was the way to control quality of archival practices among the employees.

5.3.3 Performance assessment

According to Unit 7, the second element for quality assurance is assessment. This section discusses how the archival practices of the NAT archivists was assessed, how the assessment was conducted, how quality and quantity related to each other through the assessment. Quality seems to be abstract, cannot be measured, and is the opposite of quantity. However, the literature about quality management reveals that quality is linked to quantity through measurement and standards. Theories state that the ability to measure can be traced back to primitive man when he used some kind of mental measurement to assess how heavy was a stone or how far away a prey was (Kelemen, 2003, p. 20).

The relationship between quality and quantity is established through measurement. The “quantitative knowledge” of a particular object “helped decide whether the object was useful for a particular task or not” (Kelemen, 2003, p. 20). If a stone was too heavy or too large for a particular house, it had to be adjusted to fit the building requirements. Hence “measurement plays an important role in assessing the usefulness (i.e., quality) of a particular object” (Kelemen, 2003, p. 20). The relationship between quality, measurement and quantity lasts until the present day. This links to another important point which is whether quality can be measured and if so, how do we measure the quality of something.

This research examines the quality of NAT archival practices by exploring efficiency of performance and standards adoption. As noted in section 5.3.2 Quality assurance, in *Principles of Fundamental Administration and Archives Management* (Fine Arts Department, 1999), the second of two key elements to assure the quality of archival practices: “Assessment”. Details are specified in “Unit 7 Quality Assurance for Archival Practices” (Fine Arts Department, 1999, pp. 227–228).

The assessment of performance and achievement is a critical step in quality control because service is one of the components of archival operation. The effort on assessment is invested to ensure that the operations achieve the desirable goals so that the organisation can plan future development accordingly and revise the plan of action to better respond to the changes in trends. At the NAT, assessment can be conducted in two ways as follows (Fine Arts Department, 1999, pp. 227–228).

The first way is an internal assessment. It refers to the performance evaluation of the NAT employees conducted every year by the NAT executive members to monitor the operation and the existing system. The assessment outcomes are used as a tool to modify their plan of action to meet the standards.

The second way is an external assessment. It refers to the assessment from other organisations e.g. the visitors or the stakeholders. External assessment can serve to measure the level of success by monitoring progress in comparison with the devised standards and goal indicators. By establishing a mechanism for auditing internal organisations continuously, performance assessment outcomes can be used for planning, monitoring the effects from the external organisations that participate, subsidise the activities, publish documents and abstracts, and organise academic seminars or exhibitions (Fine Arts Department, 1999, pp. 227–228).

The external evaluators consist of three parties (Fine Arts Department, 1999, pp. 228–229) which are archives users, creating organisations, and the media. The first external evaluator is archives users. They are represented through four channels which are the evaluation forms (suggestion box, visitor signing book, other opinions via mailing or verbal), the user statistics, the statistics on search duration and volumes of records used by each user, and the diversity of subjects or collections that are requested and used in the whole year. The second external evaluator is creating organisations. Their assessment are represented from four aspects which are cooperation with the NAT, their requests and usage of records from the Records Centre and NAT repository, their useful suggestions to improve archival tasks, and their financial support to the NAT. The third external evaluator is the media represented by opinions appearing in articles and discussion in different media channels and how information from the archives collections is publicised and disseminated via media. In this thesis, the author used similar evaluators to assess

the NAT employees' performance by collecting data from users and seven ministries surveys which could be regarded as external evaluators.

5.3.4 The methods of NAT assessment

According to the literature in Chapter 2, to control quality it is essential to establish the methods for assessment of archival practices in organisations so employees can detect any errors and improve the tasks. The interview data in 2014 reveal that archivists had various opinions towards assessment to evaluate performance. Particularly, the opinions of the participants depended on their rank, their status, and their position in the NAT. Since practitioners in the NAT were government officials, there were the official methods for evaluation which were assigned and implemented by the parent organisations (the Department and the Ministry) as follows.

Firstly, there was Thai bureaucratic assessment which systematically took place every six months. Int.1 thought the results of this assessment affected the rates of NAT employees' salary. She regarded that "this assessment was meant for helping employees" (in terms of salary) instead of serving its real purpose (which was to check if employees were able to meet the criteria). For the bureaucratic system assessment, Int.8 thought it could not fully reflect the real quality of performance and the assessment was affected by policies of the head of each group. The executives tended to give an average salary to all the staff thus the assessment was not based on the quality of work. Int.8 believed that "the bureaucratic system assessment was meant for rewarding, presenting the beautiful figures, upholding organisation's good image and might affect adjusting salary rate of employees" thus the assessment did not lead to professionals' development.

Secondly, another method was the OCSC's assessment. Int.4 criticised that the OCSC assessment did not affect the opportunities of getting a promotion in the NAT because the criteria of the assessment were assigned by the Fine Arts Department. The Department hired an external company to design the criteria of assessment and the design was later reviewed.

Thirdly, the NAT employees had a monthly inspection process (Int.7). For this assessment, the subordinates must submit monthly reports to the head of the group who checked quality of their tasks. The inspection process was required

monthly because if there were any errors, archivists could fix them immediately. The solution of any problems in working process could be updated in the Handbook.

The performance indicator obliged each employee on duty to reach the minimum specification. The minimum specification was set from the calculation (the mission of routine work was calculated to find average frequency). The average frequency was fixed and set to be the Mean with \pm two levels (Int.10). Each year the director-general of the Fine Arts Department set the mission and goal of the Department with the NAT executives (Int.10). Later, the NAT Director conveyed the directives to the heads of the group i.e. the tasks and how the tasks of each group can respond to the Department's mission and goal. Then, the heads of the group conveyed the message to staff in the group. Afterwards, each group defined and set its goal, its outcome, and its performance indicator for each staff. Employees were responsible for collecting their statistics and filling in the form of performance outcome. Individual statistics were collected throughout the whole year. At the end of a year, employees evaluated if they performed the tasks sufficiently and if they achieved the goal. Later, the group head signed the reports to approve that the report was based on real performance.

In practical aspects, Int.10 suggested that "if employees did not focus too much on the salary rate, they would perform at an acceptable level". In contrast, if employees had high expectation on salary rate, they would be disappointed because the salary rate was not much influenced by the actual results of performance. The salary depended heavily on management. When the Bureau of the Budget gave the budget to the Fine Art Department, the Department took 0.2% of the budget and then gave the rest of the budget to the institutions under the Department. Later, the NAT distributed the given budget to each group. The quota rule allowed only one excellent employee to receive this money thus other employees in the group would be rated as "Good" in the assessment and be paid at average salary although they might perform very well. Employees might be all excellent but they were paid in the rate of "Good" performance. The group head must explain this to employees because it was an inevitable circumstance and the budget distribution was an uncontrollable factor. Also, the rating in the assessment was used for getting a promotion in rank (Common Level ranking in Thai bureaucracy) at the NAT (Int.10).

Apart from these assessments, there was another method of assessment run by the Preservation Group which was an annual inspection. Int.11, responsible for managing the repository, carried out the inspection. There was no external audit. Every month it was their responsibility to randomly check if collections were kept in the correct boxes. For the quality of collections, archivists always checked the physical condition of collections when archivists worked with the collections.

Additionally, there was a big annual internal audit carried out at the end of the year by the executives who assessed if collections in the repository were complete, remained in good condition, and matched the inventory lists correctly, including checking the shelf arrangement for archival records and microfilms. Similarly, Int.14 said there was an automatic primary check-up procedure when archivists worked. The first procedure was archivists checking the condition of archival materials when materials were transferred to the Preservation Group to ensure that the materials were complete. The second procedure was the big inventory inspection run annually to check the condition of the collections.

Finally, there were remarks from the archivists. They noted that there were only internal audits. For example, there was no external audit in the Recording Events Group (Int.8). Int.11 from the Preservation Group pointed out that “archivists might claim to have performed the archival practices and followed the standards, but there was no external body to audit and prove if it was true”.

In summary, it is apparent that there was more than one method of assessment for archival practices. However, the level of understanding about the assessment and opinions towards the existing methods were explicit evidence that there were gaps in the assessment in 2014. The author concludes that all methods of assessment had gaps. Thai bureaucratic assessment was criticised to help employees by distributing average amount of rewarding money to all staff so bureaucratic assessment did not reflect real performance efficiency. The OCSC's assessment was designed by external company who did not know about archival functions so the OCSC's assessment failed to assess archival practices of staff. The monthly inspection processes were criticised to be influenced by NAT budget's management so rewarding money did not distribute to a right employee and results of this inspection were unable to present real performance of employees. The annual audit of Preservation Group lacked of external audit. Moreover, the NAT

archivists could not separate their characters as archives professionals from being government officials thus the idea of having quality did not only relate to good practices in the archives institution but also related to the ability of achieving the minimum expectation of the government agency.

5.3.5 Issues of NAT performance assessment

To assess performance and its effectiveness, organisations require a range of indicators. There are measures of output, outcome, throughput, internal functioning, etc. Williams (2002, p. 66) suggests five main areas for assessment as follows: contribution to the achievement of strategic objectives, measures of quality, measures of quantity and volume, measures of efficiency and value for money, and measures of external and internal customer satisfaction (Williams, 2002, p. 66). However, measuring performance is not easy. The literature raises three fundamental issues of performance assessment in organisational context as follows.

Firstly, performance assessments are imperfect. Some have assumed that managerial performance can be assessed. The fact that the performance is multi-dimensional and complex makes it difficult to measure because some dimensions are not directly measurable or observable either qualitatively or quantitatively (Gomez-Mejia et al., 2010, p. 255). Problems occur when performance assessments are believed to represent true performance. Consequently, critical information (which may not be able to be quantified) becomes invisible and marginalised.

Int.4 pointed out that “archives were different from libraries so it was impossible to use the same assessment e.g. numbers of users. The archive users visited the NAT for particular purposes rather than short visits”. Users have specific subjects in mind such as the undergraduate students coming to see original documents because their lecturer required them to, or the postgraduate students reading documents and researching for years. The users were the same group of visitors in a year thus the number of users did not increase. Int.4 disagreed that numbers of users were an indicator of success. She gave an example of significant event held in 2009. For example, Archival Documents of King Chulalongkorn's Transformation of Siam (1868-1910) were in the Memory of the World Register of UNESCO in 2009, or the records relating the temple of Preah Vihear Thai-Cambodian border dispute attracted people to visit the NAT, etc. Similarly, Int.8 from

the Recording Events Group thought “the bureaucratic system assessment could not reflect the real quality of performance”.

Secondly, there is an incontestable characteristic of performance measures (Gomez-Mejia et al., 2010, p. 256). When they are accepted, they cannot be contested. When new performance measures are introduced, they will find strong resistance from employees regardless of their potential values as performance drivers. In theory, humans have a natural need for clarity and structure in the environment and performance measures help reduce ambiguity and give clarity and control over the unknown. Nevertheless, when any performance assessment is used and accepted for some time, it becomes protected in the culture and daily activities of the organisation (Gomez-Mejia et al., 2010, p. 256).

Thirdly, there are conflicting roles of performance assessment. Managers sometimes focus on aspects of performance aligned with the objectives of its owner because performance measures are used for motivational and control purposes. This also creates an environment where managers “are more tempted to distort and corrupt performance information as they have a desire to look good in front of their superiors” (Gomez-Mejia et al., 2010, p. 257). Consequently, using the same performance measures for informational and motivational purposes becomes dysfunctional, “as the validity of the information delivered by the measurement system is compromised by the unintended reactions of those being measured”. The organisations should be able to answer whether they want to focus on outcomes, processes, or both. There are examples from the NAT’s assessment as follows.

For archival practices, Int.5 criticised that the assessment “depended on personal decisions rather than the measurement criteria set in the assessment forms”. The head of the group was responsible for rating every staff in the group and the performance assessment tended to aim for reward and for promotion. The bureaucratic system assessment could not reflect the real quality of performance because the assessment was affected by policy of the head of each group (Int.8). The executives would like to give an average salary to all employees thus the assessment was not based on the quality of work. “There were other factors involved e.g. fairness, living condition of subordinates, etc. Hence, the quality of practices did not relate to the assessment”. Int.8 thought the bureaucratic system assessment was meant for reward. Likewise, Int.14 shared her opinion that

assessing performance was not an easy task and she was personally against it because she thought the overall assessment must conform to bureaucratic systems and relate to salary rate.

Apart from theory which explains the issues occurring in performance assessment, in reality the practices at the NAT reveal that there were more issues relating to performance assessment as follows.

First of all, it was possible that the existing assessment did not really have any effect on practitioners. Int.13 thought that the fixed number of performance assessments did not correlate with the reality of the performance because the performance depended on the condition of each collection. "If practitioners did not reach minimum of the fixed number of quantity required in the assessment, it did not have any effect on the employee's salary".

Secondly, the assessment did not lead to any improvement of archival practice in reality for many reasons. Int.6 explained that the existing method of assessment was evaluating the tasks which practitioners submitted to the head of each group. The head of the group scored the performance assessment by checking the submitted tasks, but the results of assessment might be useless in reality. For instance, when the recommendation of assessment was advice on personal development in language skills or computer skills, the NAT should organise short courses or training for employees, but the NAT was unable to do so. Moreover, the head of the group did not have time to follow up whether the recommendations of assessment had led to actual improvement or not. Similarly, Int.14 said the main strategy for quality control in organisations was a tool called factor analysis and indicators for measurement. However, it was unknown how much the NAT used the reports for further development in practices.

Thirdly, the archivists suggested that the assessment should engage a third party. Int.8 from the Recording Events Group described a process of assessment that after submitting a draft article, the head of the group checked errors in the draft and the draft was sent back to be edited again. Afterwards, the draft article was sent to the committee of experts before it was returned to be re-edited. Int.8 thought that during the working procedure, self-assessment took place from the head of the group to the committee. The feedback and comments allowed practitioners to learn

from mistakes. Nevertheless, in this work procedure, only the head of the group and the committee acted as inspectors. The scope of inspection was not broad enough because it did not engage the comments from public. Int.8 strongly suggested that “the public should be involved in the procedure because the publications were intended for the public’s sake”.

5.3.6 Issues of NAT performance assessment: quality and quantity

Chapter 2 describes the concept of standards relates to quality and also quantity in terms of specification. Using quality and quantity as indicators for good practice is expected to be effective, but using quality and quantity indicators serve different purposes. Hence a balance between the emphasis on quality and quantity is crucial for setting of evaluation. The 2014 interview data reveal that the imbalance between the quality and quantity assessment created tension for practitioners. The data reveal that archivists tried to achieve requirements specified in criteria for performance assessment and in standards - Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999). However, the interview data disclose two reasons why there was tension for archivists to achieve quantitative and qualitative requirements of archival practices.

The first reason was the NAT archivists had to do other tasks (“other missions”) thus archivists had less time to spend on archival tasks. Int.7 in the Important Records Group pointed out that the level of efficiency of each employee varied. Before 2014, archivists could perform as many tasks set at the minimum criteria in the Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999). The criteria specified the quantity of outputs that archivists should perform per month or per year. The fixed numbers of quantity for criteria were based on the reality and the criteria were practical because before 2014, practitioners could reach the minimum criteria set in the Handbook.

In contrast, in 2014 it was difficult to meet the goal in terms of quantity because archivists had “other missions” to do apart from the routine jobs (Int.7). In the job description specified by the OCSC, it was explicitly stated that government officials might have “other missions” to serve if required. The strategy of administration in the NAT changed, so the numbers of “other missions” increased inevitably according to the executive’s policy e.g. joining the program of UNESCO Memory of the World.

Since the NAT was under the Fine Arts Department, the employees must participate in the activities of the Department which were often organised on the behalf of national events. Consequently, the workload of archivists increased. Archivists must spare time for “other missions” so archivists might not achieve minimum quantity criteria set out in the Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) although archivists already set “other missions” as the second priority. Moreover, Int.5 criticised the monthly reports that reports focused on quantity rather than quality.

Similarly, Int.13 said in reality archivists could not achieve the fixed number because the archival materials were different and it took different duration of working hours to finish each collection. She thought that the fixed number for performance assessment could not be met because it depended on the condition of each collection. Besides, archivists must do “other missions” assigned by the executives.

The second reason was uncontrollable factors impacted on archival practices and made archivists unable to achieve quantitative requirements. Int.4 said that the quantitative assessment was meant to control “lazy employees” and the qualitative assessment was more important. For example, when users requested a copy of the records, how many copies archivists should produce per month was not a measure because it depended on the number of requests from users. After users received the copies they requested, users filled in a questionnaire asking about the quality, clearness, and completeness of the copies. The questionnaire did not ask the users about the quantity of copies because it was difficult for archivists to control the quantity of the copies.

In the Recording an Event Group, the current standard consisted of both qualitative and quantitative aspects. Int.8 thought the bureaucratic system assessment could not reflect the real quality of performance. On the other hand, Int.10 argued that this group concentrated on quality more than quantity. The existing indicators required how many pages of an article the employees should write per month but in reality the head of the group did not have time to adjust the performance indicators to suit each staff.

For the microfilm section, 5,000 records per month should be edited (Int.12). It was merely an ideal fixed number because each collection took different duration of time to manage. Mostly the technician working in the microfilm section produced 10 reels of microfilm per month. Logically the technician could not edit 5,000 records per month because there was only one microfilm making machine available. Consequently, the only available machine must be used very carefully and could not be overworked. Moreover, archivists wanted to focus on good quality of microfilm production, to spend more time on producing the microfilm rather than focusing on quantity of products (Int.12).

For the Preservation Group, the assessment was based on the output, but Int.13 pointed out that it could not rely on the quantity of output per month. For example, there was a case concerning the quality of records conserved. After being conserved with Japanese tissue, the records still did not meet the standard and practitioners must redo the tasks. Int.13 thought that it was acceptable if practitioners had low numbers of outputs, but they had high quality of outputs.

Likewise, Int.14 insisted that practitioners should focus on quality more than quantity. She pointed out that for conservation it was impossible to directly control the quantity of archival materials (transferred to the Preservation Group from the Research and Records Administration Group) thus the assessment could not be based on quantity. Nevertheless, it was possible to control other factors to make records last longer e.g. controlling environment in the repository (Int.14). Sometimes it was difficult to assess quality although practitioners tried their best to control relevant factors. For example, the result of uncontrollable factors might appear and cause damage to the archival materials. It was difficult to find the root of the problem and identify if the damage happened before the archival materials were transferred to the Preservation Group.

To summarise, the author concluded that this section shows there was tension between quality and quantity in the performance assessment at the NAT. Firstly, the archivists mostly agreed that quality was difficult to assess. Secondly, many archivists were not satisfied with the criteria and assessment that focused on quantity than quality. Thirdly, many archivists insisted that they paid attention to quality rather than quantity of performance when working. Archivists also provided reasons when they could not achieve the quantity of performance specified in the

criteria. One interesting point is some practitioners implied that they spent time on focusing on producing high quality of performance so they did not reach the minimum requirement of work (quantity).

In conclusion, this section discusses quality of archival practices at the NAT, how archivists assessed quality, issues concerning quality assessment. This section shows that organisation and its procedures to control and evaluate quality of archival practices became a factor that impacted on archival practices as well.

5.4 The archival profession at the NAT

The archival profession is the most important element that impacts on the success of standards implementation. This is why the author set out to explore the opinions of Thai archival professionals. Also it is important to explore whether there is any room for improving the ability and potential of the archival professionals at the NAT or not.

The Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) and the Handbook of Principles of Archives Management (National Archives of Thailand, 2016a) dedicates one chapter to describe qualifications, professional knowledge, and job descriptions of archival profession in the NAT thus it is evident that the NAT prioritised human resources development.

“Unit 4 Personnel and Profession in Archives” states archivists are in charge of seeking, collecting, appraising, conserving and providing archives service to maintain these records as the valuable archives and intellectual properties particularly, as the nation’s cultural heritage (National Archives of Thailand, 2016a, p. 72). Therefore, the personnel working in the NAT must have knowledge and understanding as well as ability and proficiency in archives operations. Those in charge of managing archives require specific academic theory to ensure the accurate and efficient operation, appropriate for their role as the protector of the significant documents that reflect the wisdom of the nation for the next generation in the future.

The workforce or the quantity of personnel in the archives repository depends on the size of the archives repository, the budget and the mission of the

organisation. The Handbook of Principles of Archives Management categorises the personnel in archives into three levels drawing on “Guidelines for curriculum development in records management and the administration of modern archives: a RAMP study 1982” of Michael Cook, as follows (National Archives of Thailand, 2016a, p. 72).

Firstly, employees at a management level should obtain a master’s degree in archives management and have prior professional experience. They are responsible for setting the policy, planning strategies and developing the internal system within the archives repository.

Secondly, employees at a professional level should have a master’s degree in archives management but may have limited professional experience. They are responsible for setting different procedures of archives operations ranging from the creation of records to the archives service provision.

Thirdly, employees at a practitioner level should have a bachelor’s degree in any field but receive technical training so that they have developed expertise in one of the duties for archives operation.

According to the job descriptions, the personnel in archives can be classified into the following three groups (National Archives of Thailand, 2016a, p. 72). Firstly, the archives profession consists of archivists and audio-visual technical officers. Secondly, the archives support profession consists of computer technical officer, assistant archivist officer, audio-visual officer, photographer and records repairman. Thirdly, the general operation support profession consists of general manager, clerical officer and electrical technician.

In terms of fundamental qualifications, the Handbook states that there was no curriculum in Thailand that was specifically designed for producing personnel as archivists in 2016 (National Archives of Thailand, 2016a, p. 73). Some master’s degrees offered the curriculum in archives, but there were only a few graduates in archives studies in Thailand. Consequently, it is necessary that the NAT have broad fundamental qualifications for the personnel in archives including the relevant field of studies that can be enhanced in both knowledge and experiences, to carry out the role and duties in archives. Fundamental qualifications for the personnel in

archives (National Archives of Thailand, 2016a, pp. 73-74) are needed for archivists, assistant archivist officers, audio-visual technical officers, audio-visual officers, academic artists, computer technical officers, photographers, electrical technicians, general managers, clerical officers, and records repairers.

The details of the practitioners working in the Bangkok could be found from research about personnel development for archival practitioners working in the office of the NAT (Pipuanok, 2005, pp. 2–5). The author undertook further research with NAT employees' as part of this study to investigate the quality of practices at the NAT in 2014, it is crucial to study the NAT practitioners because they were the ones performing the archival operations. The information about the human resources at the NAT was critical for data analysis. It was helpful for making suggestions about how the Thai archives and archivists could implement standards after 2014.

The NAT employees were categorised into three groups according to Pipuanok (2005). The first group was the archival professionals i.e. archivist and audio-visual technical officer. The second group was the archival operation support i.e. archival staff, audio – visual technical officer, photographer, records repairing officer. The last group was the general affairs group which did not perform any task relating to records and archival management i.e. general affairs officer, electrician, janitor. Table 5-3 shows populations from Pipuanok (2005)'s research which comprise 70 employees in the NAT.

Table 5-3 Pipuanok (2005)'s research population

The NAT in Bangkok	Government officials	Permanent employee	Temporary employee
General Administration	1 general administrator, 3 general affairs officer, 1 electrician	1 general affairs officer, 2 driver, 3 security officer, 1 janitor	
Research and Records Administration Group	5 archivists, 4 archival staff		2 archivists
Important Records Group	5 archivists. 4 archival staff, 1 general affairs officer	1 janitor	1 archivist, 1 archival staff, 1 typist
Recording Event Group	5 archivists, 4 archival staff	3 janitors	3 archivists, 1 archival staff

Service and Collaborative Archival Affair Group	3 archivists, 2 archival staff, 1 photographer	1 typist, 1 janitor, 2 workers, 1 gardener	1 archivist, 1 archival staff, 1 photographer
Preservation Group	3 archivists, 3 archival staff	7 records repairing officer, 3 janitors	2 archivists, 1 general affairs officer, 2 repository collectors, 1 records repairing officer

Human resources were crucial to the operation of organisation thus any good organisation must develop the potential of its human resources (Pipuannok, 2005, pp. 5–7). The science of human resource management was essential for organisational administration, including human resource improvement i.e. employees' potential development. Topic of human resources at the NAT was aligned to the point on previous section about assessment of archival performance in terms of salary and reward of the practitioners.

Due to changes in environment and circumstance, the technology, users, and organisations transformed archives profession's responsibilities. Record keeper's roles must change from "opening and registering incoming and outgoing correspondence" to "strategic roles targeted on governance; training; quality assurance and auditing records management practices" (Joseph et al., 2012, p. 63). As for Thailand, the NAT was aware of the importance of human resource improvement. Pipuannok (2005) clearly stated that there were several factors causing Thai archival professions to change their roles and responsibilities.

Firstly, the globalisation since 2000 made a change all over the world (Pipuannok, 2005, pp. 5–6). Globalisation was a driver for human resources improvement at a global scale and at a micro scale line in the NAT (as mentioned in Chapter 3). In Thailand, globalisation made Thai bureaucracy reform its system of administration and re-engineering the structure of government bodies to reduce overlapping functions and the number of surplus employee, to introduce new budget planning scheme focusing on outcome and public service, to implement performance assessment and auditing system, and to encourage government bodies to use IT to enforce e-government, etc. Consequently, the NAT must change and prepare the archive in accordance with a new way of government

administration. Since the 8th National Economic and Social Development Plan also emphasised human resource development by stating that Thai citizens should develop their potential and creativity (Pipuannok, 2005, p. 7), the laws and the government are re-structured, and the NAT's plan for personnel development implemented.

Secondly, government policy encouraged the public sector to implement Information Technology in bureaucratic administration (Pipuannok, 2005, p. 6). The government required the government officials at each level to have IT skills. The officials who were capable of using the computer and internet could access useful sources for learning by themselves, especially the online sources from abroad. Therefore, most personnel development programs included teaching the officials to use internet and IT.

Thirdly, globalisation connected people all over the world (Pipuannok, 2005, p. 6). The records and archives community in each region could exchange and share their knowledge and skills more often than before. The language for international communication was crucial for the professionals to access knowledge. English was widely used as an international language. The NAT was aware of the importance of English literacy because it obliged records and archival practitioners to be able to read foreign texts online by themselves for self-improvement.

Finally, records and archives principles were developed and updated all the time to respond to the changing environment (Pipuannok, 2005, pp. 6–7). The advancement of technology (i.e. electronic records management, new method for microfilm photography) pushed the NAT to improve the knowledge and skills of employees to catch up with the new updates in records and archives field.

The literature review shows that there was another research concerning archival professional development at the NAT. Poolsatitawat (2016) examined factors shaping archival education in Thailand and explores its effectiveness in preparing graduates to work professionally in the Thai archival institutions. She explains that Thai archives' definition and functions, its roles and responsibilities, and Thai archivists' qualifications and professional status were different from Western context. A postgraduate course taught at Silpakorn University was unable to prepare its graduates to work as professional archivists. The Thai higher

educational regulations impacted on the programme to offer an academic degree rather than preparing professional archivists and led to inability to implement the professional learning. Also, most of Thai archivists did not regard themselves as archivists. Thailand lacked archival scholars and professional bodies to increase professionalism. Demand to study in the programme was decreased which impacted on identity of Thai archivists. Poolsatitawat (2016, pp. 282–284) suggested that Thailand needed professional archivists and Thai archival institutions should recognise the benefits of having a more educated archival workforce.

5.4.1 Principles of Fundamental Administration and Archives Management and its effect on establishment and qualification of archival professions at the NAT

The Personnel and Profession in Archives section in Unit 4 of Principles of Fundamental Administration and Archives Management describes methods for development and training for personnel in the NAT (Fine Arts Department, 1999, p. 238). Firstly, there are two-week lecture series about archival theory including courses and lectures delivered by guest speakers, learning materials and handbook. Secondly, there is a one-month practice that includes performing archival practices on archival materials and a written examination. Thirdly, there is evaluation. The participants prepare one academic report on archives and are frequently monitored and evaluated by the designated archives advisory committee. After the training, the committee will examine, monitor, and provide advice on the performance and knowledge application of each participant within a six month period. If a person does not pass the evaluation, they need to repeat the training and this can affect performance assessment as well (Fine Arts Department, 1999, p. 238).

The NAT put in effort to develop its human resources since 1970s (Pipuannok, 2005, pp. 25–29). The programs for personnel development were various and they were shaped by the policy of each executive. All the programmes were run and organised by the NAT. Occasionally, the NAT invited external speakers to give a talk meant for the employees e.g. introduction and orientation for new employee, internal staff meeting, short course training and study abroad about records and archives management, workshop, conference and seminar, field trip and visit other archives in Thailand and abroad.

Pipuannok (2005, p.๓) reveals that the majority of the first and the second categories of human resources in the NAT (the archival professionals and the archival operations support) preferred to develop their knowledge and skills through training courses. In contrast, the least desirable method for human resource development was studying in higher education because it took two years at minimum to finish a master's degree. The NAT employees must ask for permission for a sabbatical leave under the condition that they would come to work for the NAT. Some regarded studying a master's degree was risky because employees were self-funded and it took a long time and some might not be able to finish a degree (Pipuannok, 2005, pp. 143–144).

5.4.2 Issues of archival professional development in the NAT

Apart from the past research, the interview data in 2014 reveal four issues relating to methods for educating and training Thai archivists. This section explores the methods and issues relating to personnel development of the archival professions at the NAT.

First of all, knowledge about the archival practices derives from the senior archivists, former archivists (including the “pioneers”), and through the mentoring system. In 2014, practitioners still adhered to the knowledge from the pioneers time (when the pioneers were sent abroad to learn about the records and archives management long time ago). Int.5 explained that the tradition of archival practice and the mentoring system were established since the pioneer period (which was senior-to-junior teaching method). At the NAT mostly the standards were traditions that had been continuously practiced from the previous-generation archivists (Int.6). In the Research and Records Administration Group, the previous-generation employees were taught to follow the rules strictly about practice e.g. registering, accessioning, and storing the records, etc. (Int.1).

Secondly, in theory archivists must learn from training courses and field trip visits to other archives institutions, but in reality there were practitioners that had never visited any archives to learn about archival practices. Int.13 suggested that the staff should at least visit and learn from other archival institutions in order to adapt the technique of practices for their tasks. Although many staff had 25 – 30 years of experience, but they only learnt practice through the mentoring system.

In contrast, there were practitioners that travelled abroad to visit foreign archives institutions, but they did not transfer and share their knowledge to others. Int.16 said archivists had many opportunities to go abroad for study, field-trip visits, or training, but they rarely applied that knowledge to improve the organisation. Employees receiving funds to attend international conference or visit foreign archives were not required to transfer and share the knowledge they gained from going abroad and there was no obligation from the fund committee (Int.5). Before 2014, government officials must pass the exam of Ministry of Foreign Affairs to get funding and permission to go abroad. Weak English language skills reduced the opportunity of the NAT employees to get the funds. Although employees passed the exam or the NAT executives received the funds to go abroad, it was still useless because the knowledge was not shared to the other NAT employees. The executives did not use the knowledge or information they had from abroad to develop the archives (Int.5).

Thirdly, self-learning was an alternative way for archivists to learn, but there were limitations which became obstacles to learn about archives theory and practices. The first obstacle was personal attitudes of the practitioners. Int.1 stated that self-improvement among NAT employees depended on personal attitude. When most practitioners thought they worked well and organisational culture encouraged practitioners to believe that they were experts, self-improvement was not effective. Moreover, the executives ignored the situations in archives management so it was difficult to catch up with the up-to-date knowledge and technology in the field (Int.5). The NAT has "very strong organisational culture. Overconfident practitioners thought they knew enough so they did not learn". The second obstacle was there were only few resources available in Thai to study about archives theory and practices. Int.5 mentioned a weakness of learning resources such as the Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) was the only Thai textbook available at that time. This could not provide enough information for practitioners. Moreover, in 2014 many publications were focused on preservation. They rarely provided information about other archival practices (Int.5).

Fourthly, weak English skills of the practitioners were a big problem hindering access to knowledge in this field. Int.5 questioned about the expertise of the pioneers who were NAT employees and received funds to study abroad in the

past. The language might be a barrier for the pioneers for understanding the content from the courses abroad which were taught in English. Int.5 criticised that “even the translated version of Theodore Roosevelt Schellenberg’s work (translated in Thai by the pioneers) was very difficult to read and understand” and some important contexts were missing. In her view, the NAT did not develop well because of the weak English language skills of practitioners causing them to be inactive and unwilling to read difficult English texts. “The employees attending international conferences or visiting foreign archives might not fully understand English from foreign speakers”. However, the NAT was still unable to provide short language courses or training for employees (Int.6).

In summary, the 2014 interview data disclose four issues concerning archival professional development at the NAT. Firstly, knowledge about archival practices derived from senior archivists in the previous generation was out-of-date and did not respond to the changing environment in 2014. Secondly, many practitioners did not have opportunities to visit other archival institutions thus practitioners only learnt in the NAT. Although some practitioners had travelled abroad to visit other archives, they did not transfer knowledge they gained to other practitioners at the NAT. Thirdly, self-learning approach did not work for professional development because personal attitude of employees and organisational culture discouraged self-learning enthusiasm. Also, there was not much literature available in Thai for self-learning. Fourthly, weak English skills became an obstacle for archivists to access to records and archives management theories and technologies which were available in English.

5.4.3 Suggestions on developing human resources of the NAT

To develop the knowledge and skills of the practitioners, the author thinks there are three possible solutions as follows.

The first thing is educating archival professionals about records and archives theory. The literature indicates that routine work can be an obstacle for practitioners to focus on getting training and learning archives theory (Njovana, 1993, p. 98). For example, Spanish archival community had “a long way to go before they could formulate an archives theory” (Gonzalez, 1993, p. 72) because pressure of daily work kept practitioners from focusing on theoretical knowledge in the training. Thai archivists must have more comprehensive training to work effectively in digital era.

The sustainable policy and action to organise the proper training and educational programmes for Thai archivists can derive from sufficient support of executive management of the NAT and the Ministry of Culture.

The NAT is a leader in Thailand in operations concerning archives management and standards. The NAT should be the institution in Thailand that recruits graduates for archival operations. It is important that the graduates recruited to work at national archives should be able to conduct professional duties according to internationally accepted standards. They should be trained and educated to work properly. The interview data in 2014 indicate that Thai archival profession should have better shared understanding on quality and performance so they can improve their quality practices. The educational programmes and training can help the practitioners reflect on theories of quality and performance and allow the practitioners to consider how they can apply relevant theory into their practices for quality improvement. Int.9 from the Recording Events Group suggested there should be training courses for new staff in this group.

The second important thing is educating archival professionals about standards. Research shows that in the past it was evident in the archival community that there was urgent need for education about descriptive standards. Dryden (1993, p. 5) suggested that training should be consistent and systematic so “automated information exchange can rest on a solid foundation of uniform descriptive standards”. There is awareness that education in standards use and application takes time. The case from China shows that most practitioners lacked experience and education for implementing standards in their daily work and new standards were too much for the practitioners to “absorb all at once” (Deng and Yang, 1993, p. 7). Hence, for practitioners, training and education must start early and give them enough time to understand and catch up with new standards in their tasks.

Standards themselves need vigorous promotion and adoption otherwise they are at risk of disappearing (Oliver, 2014, p. 28). Standards need to form the basis of teaching programmes because “the education of new professionals is a critical point of influence”. Significantly, standards enhance professionalism as standards organise what constitutes professionalism (Int.15). Educational institutions should support professionalism by bringing together alumni and the NAT archivists to

brainstorm and build archival professional identity. The collaboration will benefit every party as the institutions can teach professionalism in their class and the alumni will have professional involvement and rightful recognition in establishing archival professional identity. Int.16 believed that standards can help to build professionalism. “A graduate with a degree in the records and archives management should know what the right practice is”.

The third point regards organisational aspects. Thai archival professions deserve fairer pay and rewards. This is an element that can encourage practitioners to work effectively and keep improving the archival practices to achieve high quality and meet standards requirements. Also, clear direction from management is required because of the top-down approach applied in the NAT so the driver for development must be pushed from high positions down to lower positions and they can start moving forward to the goals of the organisation.

5.5 Chapter summary

This chapter provides a wider examination of archival practices at the NAT by bringing together; firstly, the perspectives of stakeholders (users and government agencies) and so called non-users of the NAT on the quality of NAT’s practices, with secondly, the perspectives of staff on questions of quality, quality control, performance assessment, and professional development within NAT.

The findings reflect that there were some areas of weakness in NAT practices in 2014 e.g. a lack of e-records management, insufficient online services, considerably low awareness of archives’ significance amongst the general public, weak coordination between the NAT and government agencies to manage public records, etc.

Despite the existence of definitions of quality in published standards used by NAT (see section 4.5), archivists at the NAT perceived quality in many different ways. Definitions of quality varied in each group e.g. working in compliance with legislation and OACS criteria, being able to provide speedy and efficient services to satisfy the users, gaining skills for writing articles and for recording events, producing high quality microfilms, and preserving archival materials to ensure records’ preservation. Some had more specific visions of quality and in one case

this vision referenced standards. Generally, though, only some participants identified a connection between quality and standards.

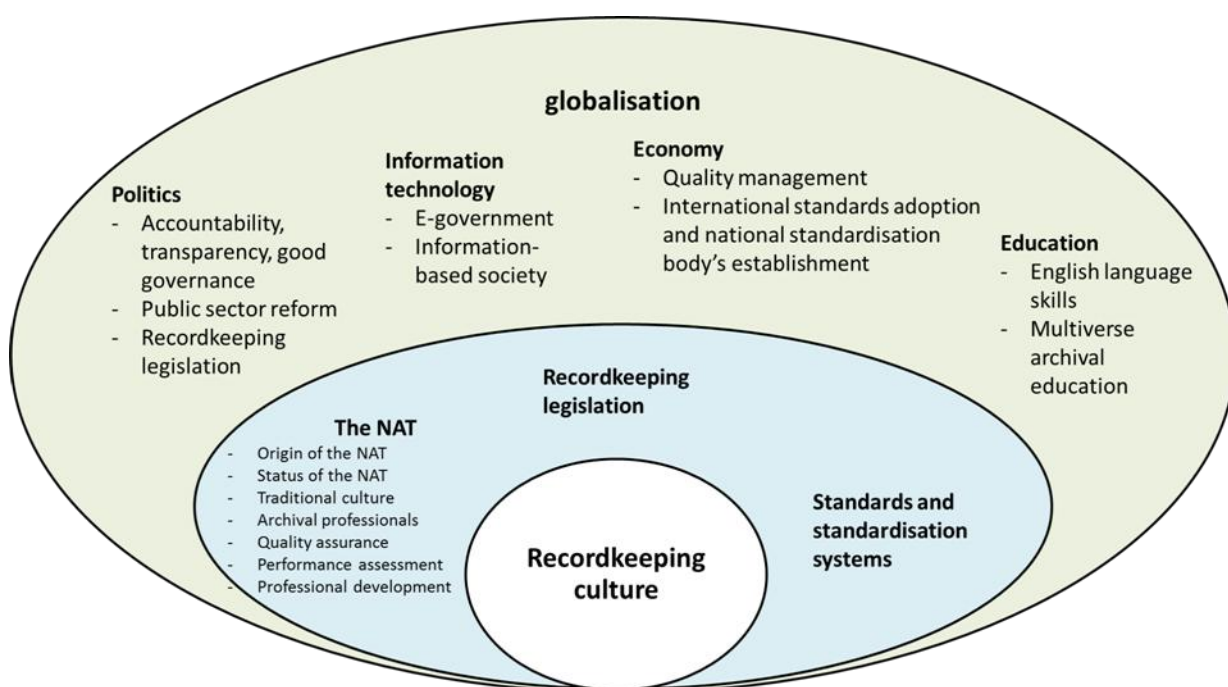
With regards to quality assurance, although the Quality Assurance for Archival Practices (Fine Arts Department, 1999, p. 226) was specified in the Handbook, there were other tools used for assuring quality at the NAT e.g. legislation, organisational mission, job assignment, assessment, training courses, etc. Concepts of quality and quality assurance specified in Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) did not mention any ISO standards for quality management. Perhaps this implies that ISO standards for quality management were not widely accepted among government unlike their considerable popularity among private sector (as discussed in Chapter 2). Participants referred to the Handbook very frequently thus it indicates that the Handbook was the most influential tool for quality assurance at the NAT and publishing written documents (including the handbooks) was the way to control quality of archival practices among the employees.

In terms of performance assessment, the findings revealed that all methods of existing assessment had gaps. The participants criticised the Thai bureaucratic system distributing performance bonuses on average basis to all staff so that the amount each staff member received did not reflect real performance efficiency. Some also criticised the way in which the OCSC's assessment was designed by external company so it failed to assess archival practices of staff. The monthly inspection processes were influenced by NAT budget's management so results of it were unable to present real performance. The annual audit of Preservation group lacked of external audit. Moreover, the NAT archivists could not separate their characters as archives professionals from being government officials so it created a pressure to achieve the minimum requirements of the government agency. Hence it led to another issue which was a tension between qualitative and quantitative aspects of performance assessment. Firstly, participants thought quality was difficult to assess. Secondly, many participants were not satisfied with assessment focusing on quantity rather than quality. Thirdly, participants paid attention to quality rather than quantity of performance and also provided reasons for inability to achieve the quantity of performance specified in the criteria. Therefore, a balance between the emphasis on quality and quantity is crucial for setting of evaluation.

The participants also felt that there was room for professional development mechanisms at the NAT. Some felt that existing knowledge about archival practices was out-of-date and did not respond to the changing environment. It was highlighted that many practitioners only learnt in the NAT and that, although some travelled abroad to visit other archives, there was no knowledge transfer. Thirdly, a self-learning approach did not work due to the differing levels of motivation of employees, a discouraging organisational culture, and a lack of literature available in Thai to facilitate such self-learning. Fourthly, weak English skills were an obstacle to knowledge access, mostly available in English. The findings suggested that the NAT should provide education and training courses for practitioners about records and archives management, including standards concerning archival practices.

In summary, the collected 2014 data of perspectives of groups inside (NAT archivists) and outside the NAT (users, government ministries, and so called non-users) reflect quality issues and represent challenges of quality control, performance assessment, and archival professional development, operated internally within the NAT. These were therefore recognised as further factors that might be seen to affect the shape of archival practices at the NAT, and the author elaborated the Conceptualised Diagram further by adding these factors (quality assurance, mechanisms of performance assessment, education and professional development of NAT archivists) in the centre ring (blue circle) as shown in Figure 5-1.

Figure 5-1 Conceptualised diagram of factors impacting on recordkeeping culture



Chapter 6 Research conclusions

6.1 Introduction

The stated aim of this research was to be able to make suggestions for ways in which archival practice at the NAT could be improved. These suggestions will be presented later, but first it is necessary to summarise what has been learnt in this examination of archival practices at the NAT, with a particular emphasis on standards and standardisation, and how the three research questions have been answered. These were identified in Chapter 1 as:

1. What factors can be seen to have a role in shaping archival practice at the NAT?

2. What are the perspectives of NAT staff towards standards and standardisation?

3. What are the perspectives of stakeholders of the NAT towards the quality of its archival practices, and of the staff towards issues of quality and quality assurance?

6.2 What are the perspectives of stakeholders of the NAT towards the quality of its archival practices, and of the staff towards issues of quality and quality assurance?

This question was answered primarily in Chapter 5. This chapter revealed that analysing the views of NAT stakeholders and non-users did highlight that there were some problems with the quality of archival practices at the NAT. These included;

- a lack of e-records management,
- insufficient online services,
- considerably low awareness of archives' significance amongst the general public,
- weak coordination between the NAT and government agencies to manage public record

Discussions with NAT staff around quality showed that they saw providing good quality in their practices in a variety of different ways, and that they had some

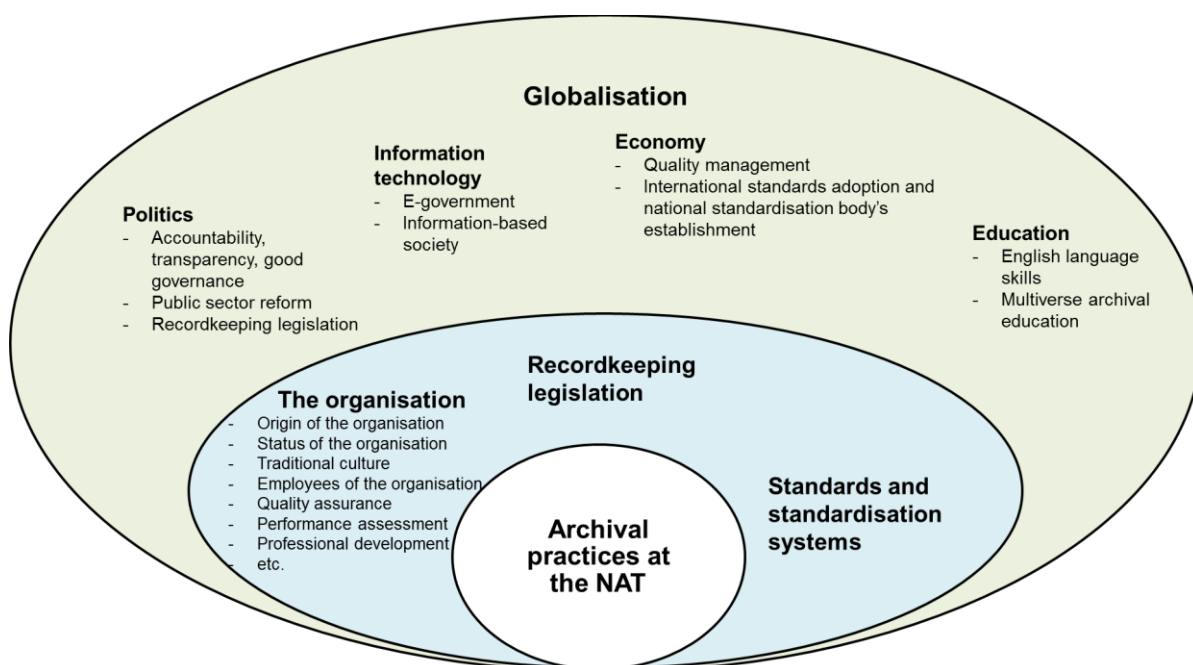
issues with organisational mechanisms of measuring quality or performance assessment, which some felt favoured quantity over quality. They also saw a number of barriers which prevented them from developing themselves, including a lack of relevant literature available in the Thai language, and a lack of opportunity to learn from beyond the NAT. In their discussion of quality and quality assurance, there was some recognition that standards played a role, in that quality might be a matter of meeting standards.

Within the findings of Chapter 5, there is therefore some validation for the decision to both emphasis standards and standardisation in this examination of archival practices at the NAT and also to look beyond standards and standardisation in thinking about the factors that might have shaped those practices.

6.3 What factors can be seen to have a role in shaping archival practice at the NAT?

A major part of this thesis has been the development of the below model.

Figure 6-1 Conceptualised diagram of factors impacting on archival practices at the NAT



Initially the factors in this model were identified from an examination of the literature. Chapter 2 discusses the factors of, firstly, general understandings of archival practice and the theories and standards that underpin and govern it, and

secondly, standards and standardisation. In this discussion, an example was used (of the implementation of the ISO9000 standard in Thailand) and the complexity of standards development and adoption, and of its connection to improving practices was explored. Chapter 3 expanded from this point to discuss further factors including the idea of globalisation, the development of new technology, archival traditions in Thailand and the Thai legislative framework with respect to archival practice.

Chapter 3 sketched out a process of modernisation, internationalisation, and globalisation that had impacted on Thailand in the form of a bringing in of western knowledge, technology, and culture. Globalisation phenomena were identified in public sector reform, a growing emphasis on accountability and transparency in governance, and on the rights of Thai citizens to access public information. These phenomena were reflected in an evolving legislative and regulatory framework for archival practice, which was also sketched out in the chapter.

At the end of Chapter 3 an initial version of the model was produced, with factors were presented in the form of two circles, one green and one blue. The blue circle was seen to include factors that played out more in the national context, and the green circle was seen to include those that could be seen as playing out at the more global and international level. This version was amended and expanded as the result of a more detailed examination, carried out in Chapters 4 and 5 of the situation at the NAT. This examination fleshed out the shaping influence of the factors summarised under the heading 'the organisation' in Figure 6-1, namely the origins, status and traditions of the NAT and the mechanisms of quality benchmarking and performance assessment that are used internally.

6.4 What are the perspectives of NAT staff towards standards and standardisation?

This question was answered primarily in Chapter 4, where the author explored NAT staff members' attitudes on three different points as follows. The first was their attitude towards archival standards used in the NAT, with regards to the efficiency and sufficiency of these standards. The second was their preference in respect of mandatory or voluntary standards implementation and their third was their perspective on the possibility of adopting international standards for archival practices.

Chapter 4 revealed that the NAT archivists thought of standards not just in terms of the two published documents which were set up as standards for NAT archival practices, but also a number of other things i.e. recordkeeping legislation, OCSC criteria, organisational mission and strategy, job descriptions, and in-house rules. It also showed that the NAT archivists, although relatively happy with these standards in 2014, still felt the need for new standards to shape their practices into the future in response to new issues in recordkeeping and new technologies available for managing archives. This supported the discussion in Chapter 3 which had suggested the fact of the changing technological landscape as one of the factors shaping Thai archival practices.

Generally though, the NAT archivists were positive about standards and the implementation of them, identifying some of the benefits (which had already been in Chapter 2). For example, they saw standards as important tools for interchangeability, for safety as standards helped preserve national treasures and as a mean for communication since they set frameworks for performance and facilitated knowledge and skill transfer from one generation to another generation in the archives. Finally they also saw standards as supporting the archival professional community.

With regards to attitudes towards mandatory and voluntary standards implementation, data analysis in Chapter 4 suggested that NAT archivists preferred some degree of mandatory standards implementation. Some preferred mandatory archival standards only in the context of the NAT and not the wider Thai archival sector. Many agreed that having a degree of mandatory implementation was useful for archival practices, but that standards implementation should be realistic and pragmatic. Some practitioners preferred voluntary standards adoption because practitioners were discouraged by the experience of failure of mandatory standards. For example, the practitioners were aware that Thai people, not liking to be forced to do anything, might resist, leading to failure in standards application. The practitioners were concerned that without penalties, mandatory standards implementation might not work effectively. There was one archivist preferring voluntary standards because she thought that the existing de facto standards already derived from the existing performance so it was not necessary to enforce standards into practice. These responses suggested that the NAT archivists were disheartened by repeated failure of standardisation in the country and that, whilst

recognising standards' significance, many felt hopeless about standards implementation working effectively in Thai archives.

Finally, with regards to the attitude of NAT archivists towards adopting international standards for archives practices in Thailand, data analysis in Chapter 4 revealed that there were many concerns from the NAT archivists about adopting international archival standards. These concerns related to the Thai government and archival climate being different from the dominant western climate often expressed in ISO standards, the different environment between developed and developing countries, low awareness among Thai recordkeeping professionals about international archival standards, insufficient human and financial resources in Thai archives, large quantities of archival material in the NAT, the impossibility of adopting international standards for specifically Thai traditional practices i.e. recording events, and a lack of standards enforcing bodies in Thailand.

6.5 Shaping archival practices at the NAT

The model (Figure 6-1) developed as a part of this research demonstrates the complex mix of factors that can be seen to have an influence on shaping archival practices at the NAT. This shows that shaping that practice to be fit for the future and in response to the changing environment will not simply come down to the introduction and adoption of new standards. Nevertheless, this thesis does have a particular focus on standards and standardisation and therefore this statement requires a little more attention.

6.5.1 Standards and standardisation for archival practice at the NAT

Even if standards are never going to be the whole answer, there are lessons that can be learned about their development and implementation, such that these processes have more potential for bringing about a positive, rather than a negative effect on archival practice at the NAT, and indeed more widely across the archival sector in Thailand.

Chapter 2 noted that Thailand had a vertical or monolithic model of national standardisation. TISI (the Thai Industrial Standards Institute), established in 1969, was the Thai official authority on standards, an integral part of the Thai government under the Ministry of Industry, acting as the ISO representative of the country. The

vertical national standardisation system in Thailand influences Thai standards in critical ways, for example, TISI is only focused on industrial and market-driven standards. Chapter 2 shows that the emergence of the idea of quality control (in 1975) and the introduction of international standards to Thailand originated from the government's attempt to boost industrial sectors (in the 1960s). Standardisation in other fields apart from the industrial and economic sectors (such as the archival sector), is not therefore felt to be a priority.

The author thinks that this vertical national standardisation system in Thailand, with TISI as standardisation body to determine all policy at national level, has advantages and drawbacks. The drawback for the recordkeeping community is that TISI has prioritised industrial and economic oriented activities and appears less interested in recordkeeping standards. As the ISO representative in the country, TISI should promote ISO standards in all fields including the ISO recordkeeping standards. In contrast, there may be advantages to this standardisation model if the NAT could learn from other archival institutions and bodies that have engaged more with similar systems, e.g. at the international level. If the NAT could release recordkeeping standards as a product of collaboration between the NAT and TISI, the finalised standards would have more power in implementation. The centralised, top-down approach would mean that adoption would have more force behind it.

Chapter 2 also discussed a number of points around the question of what makes for a good standards development process and these included the following. Firstly, standards development processes should start only after standards developers have ensured that there is a demand for the proposed standard. Standards developers should also be clear who the target audience of the standard is. Secondly, standards developers should ensure that they have sufficient resources (human resources, financial resources, and time) to carry out the process. Thirdly, standardisation processes should be clear about the roles of participants (e.g. members of committees, national representatives, experts, etc.). Fourthly, the process of self-selecting experts should be transparent and the authority of expertise of committee members should be as widely accepted as possible. Fifthly, intellectual property issues should be specified clearly so that it is clear who owns the standard. Sixthly, standardisation processes should encourage as broad a consensus as possible so that standards are accepted by a majority of target audience rather than just the decision of a small group of people. Seventhly,

standardisation processes should engage with potential standards adopters and at the same time standards developers should draw a clear line about the point where they input the participation of the community to avoid overlap and ambiguity. Finally, good communication skills, compromise, and having global perspectives are necessary for effectively developing standards with others. Thai archival professionals can design and plan appropriate approaches from these lessons and apply them for future standards development processes.

With the process of standards development itself, even more suggestions can be made about the approaches which are more likely to be successful, and these were also highlighted earlier. For example, it is generally easier to create or develop standards that are not totally revolutionary to current practices. If new standards connect at some points to existing standards, they tend to be applied by standards adopters more. Practitioners tend to resist change, especially if the changes are considerably different from what is currently done. New standards that connect to existing performance can reduce the level of resistance. This does not mean, however, that new standards should not be developed. There is always room for creating innovative standards in archival fields. The important point is that standards developers must have good arguments for the changes within new standards. The findings of this study in respect of the attitudes of NAT archivists towards their current practices may be helpful in this regard.

Secondly, at the earliest stage of standardisation, standards developers should set out everything clearly otherwise new standards may not be adopted e.g. standards developers should have a clear goal of the objectives of new standards and the purposes of adopting new standards, terminology and definitions of words in new standards, a clear distinction between what is mandatory and voluntary in standards content, etc. This will help potential standards adopters apply new standards comprehensively and effectively. Furthermore, standards content should be well-structured and organised.

Thirdly, it is essential that standards developers create new standards by using research-based methods. New standards should be underpinned by academic and scientific principles. The content of standards should be well balanced between conceptual and practical perspectives. The case of the NAT reveals that too rigid practical standards became inflexible handbooks that could only serve specific

tasks. Practitioners were unable to apply standards in diverse circumstances. Meanwhile too conceptual standards became textbooks that practitioners found difficult to understand and apply in real circumstances.

Fourthly, standardisation processes should be consensus-based methods which engage all stakeholders e.g. potential standards adopters, the archives community, or even archives users if possible. These stakeholders influence successful standards implementation and they are a group of people who will receive benefits from standards implementation such as good quality of archives practices and services.

Finally, any standardisation system should be well-established for long term successful application. The system should include official standardisation bodies or a group of people responsible for standards application and standards maintenance in every field not only for industrial sectors. Standards generally need revision and future strategies as a tool for effective implementation. Furthermore, in the case of adopting international standards, standardisation bodies should be able to translate and convey the complete context of international standards comprehensively into local languages. Also, in case of the necessity to adapt international standards to fit national contexts, standardisation bodies should perform the task of localising them to fit with the local environment appropriately.

6.5.2 Adopting international standards at the NAT

This study had gathered the perspectives of NAT archivists towards standards and standardisation (see section 4.6.2) and an awareness of these attitudes will hopefully be useful in any future standardisation process carried out at the NAT. One particular question that has arisen however is that around the possibility of adopting international standards within NAT. As shown in Chapter 4, there was some ambivalence with regards to whether the NAT archivists thought international standards would be suitable for Thai archival practices or not.

Despite this, the author draws the conclusion that it is still possible to adopt international standards for archival practices in Thailand for three reasons. The first reason is that, whilst it is true that there is diversity in language and archival practices in each country, at the same time the archival community worldwide is facing similar issues on recordkeeping. Hence the author thinks that instead of

obsessing about differences, we should focus on the similarities of each archival community in different countries and start working from that point. The uniqueness and diversity of the community should be acknowledged and respected, but should not become a hindrance or lead to isolating Thai archives from inter-national collaboration. By 2014 the NAT already adopted principles and concepts from western records and archives management (e.g. records life cycle, principles of provenance, and scientific-based methods of archival preservation), therefore the author considers that applying international archival standards generated from these western principles is possible. The second reason is that Thai literature reports that there were some archives already implementing international archival standards so this proves that implementing international standards in the Thai context is feasible. The third reason is the NAT archivists have adopted some international standards in performance already and practitioners accepted the importance of applying standards for good quality of practices, so it should not be too difficult to convince archival professionals to apply international standards in the future.

6.5.3 Improving archival practice at the NAT

The perspective provided by the model in Figure 6-1 illustrates the complex set of factors, of which standards and standardisation is just one, which have shaped archival practice at the NAT. Some problems identified with that practice in Chapter 5 were as follows;

- a lack of e-records management,
- insufficient online services,
- considerably low awareness of archives' significance amongst the general public,
- weak coordination between the NAT and government agencies to manage public record

Taking into account some of the other factors that have been identified in Figure 6-1, the author is able to make the following suggestions.

The model indicates that legislation is a major factor shaping archival practice and one of the infrastructures required for effective archives management in Thailand. The establishment of essential recordkeeping laws (i.e. NAA 2013) has seen the beginning of effective recordkeeping practices and has set a framework for

archival practices. The NAA 2013 officially endorsed the NAT's authority and assigned it a duty and responsibility over public records all over the country. The RPMORM 1983 and 2005 set guidelines for recordkeeping procedures in government agencies. The OIA 1997 and the RMOS 2001 allowed and controlled public access to government information. As recordkeeping legislation has been enacted in Thailand, the NAT should seriously encourage full enforcement of recordkeeping legislation ranging from public records acquisition, public records transfer, and records protection and preservation. There is a need for systematic and regular collaboration between the NAT and Thai government bodies to set up a monitoring scheme for effective recordkeeping practices by implementing recordkeeping standards in government agencies. The NAT should develop national policies, strategies and standards for high quality in archival practices at a national level.

Secondly, the NAT should have a dialogue with its superior authority e.g. Fine Arts Department, Ministry of Culture, etc. with a view to increasing its resource capacity (financial and human resources). The non-users and users survey showed that there was a demand and high expectations for online archival services. The NAT should use this information to negotiate for more budgets from government using the argument that this will benefit Thai citizens in a digital information society. With reference to the model, the low profile of records and archives in Thai society could be seen as being caused by an apparent lack of participation by the NAT in the factors in the green circle. The author suggests that the NAT should reconsider how it can position itself as a contributor under the Ministry of Culture towards social and economic development through modernising its information services. Then again with regards to the education factor, the NAT should enhance teaching and learning by facilitating information access to its collections as widely as possible through Web 2.0 and social media by using standards for information management and IT to engage remote communities. And finally, with regards to the factors related to politics, the NAT should develop quality networks that encourage local and regional participation and promote concepts of transparency, accountability, democratisation, decentralisation, human rights, data privacy, and cultural heritage preservation among Thai citizens. It is important that the NAT should speak to all stakeholders (e.g. across government, regional NATs representatives, NAT users, etc.) and consult widely to create a national action plan and policies. The author considers that the plan and policies should take a data-centric view and focus on

digital longevity, encouraging an information-based culture, and advancing information usage by Thai citizens.

The 2014 ministries survey, NAT-users survey, and non-users survey in Chapter 5 provide evidence that IT systems have replaced traditional paper-based recordkeeping systems. Hence the NAT cannot ignore this change by only focusing on the cultural heritage aspects of preserving historical archival materials. It is a big challenge for the NAT, as endorsed by the NAA 2013, to ensure information access and use, and the long-term preservation of public records in digital environments. It is necessary to educate NAT archivists about e-records standards and IT literacy because the capacity of human resources at the NAT influences the quality of archival practice more widely.

Finally, the NAT must ensure that its official website is usable, responsive, understandable, and user-friendly. The official website should provide interactive online finding aids, not just show scanned paper-format finding aids. The website should represent contextual information and the relationships of records in comprehensive ways. The official NAT website plays an important role in outreach as it is the official channel by which the NAT communicates with researchers, academics, hobbyists, and other individuals who might never visit the archives. The author suggests that the NAT should use the data collected annually from its user questionnaires to plan and design archival services, have dialogue and reach out to their existing users and potential users more seriously.

Moreover, it is also important to increase knowledge about records and archives among the Thai people. The NAT should organise public events, take part in public activities, disseminate leaflets, create exhibitions, or appear in national media announcements, etc. According to the NAA 2013, the NAT as a cultural government institution under the Ministry of Culture should interact with Thai society e.g. presenting the records and archives angle on topics of public concern and be visible in the world. The NAT (as an essential element of cultural infrastructure) should contribute to sustain Thai society by facilitating citizens in developing their identities and collective memories through a broader understanding of Thai history and the values of others. At the same time it should help increase growth in national development by offering a source of inspiration for new ideas.

With the advancement of IT, the NAT should manage information it holds in archival repositories better. The NAT should build an information landscape (Trant, 2009, p. 380) by integrating approaches and strategies to facilitate information access in the NAT to represent data and create tools for users from networked information resources all over the country, especially in the regional NAT. To do so, it must implement standards to ensure authenticity of its digital archival materials that enable data re-use and data longevity.

6.6 Chapter summary

This research shows that the traditional archival practices of recordkeeping professionals at the NAT are challenged by changing environments in the 21st century. It led to the question of how the NAT could ensure the good quality of archival practices and how standards and standardisation could improve the quality of Thai archival performance. The literature review suggests that very little had been done on standards and standardisation of records and archives management in Thailand. Since the National Archives was founded in 1952, the first research relating to quality of archival services at the NAT was conducted for the first time in 2005. To examine the quality of archival practices in 2014 to ensure long-term preservation of the national legacy through a survey (of the NAT users, non-users, and central government ministries) and interviews (especially of the NAT archival professionals), this thesis aims to improve archival practices by encouraging Thai recordkeeping practitioners to implement recordkeeping standards.

After conducting the research adopting interpretivism approach with data collected in 2014 from the literature review and, in 2014, interviews, and surveys, the results of this research are represented through “Conceptualised Diagram of Factors Impacting on Recordkeeping Culture” (Figure 6-1) showing the various factors shaping archival practices in Thailand are recordkeeping legislation, standards and standardisation systems, and the NAT (in terms of its status, its origin, recordkeeping culture, mechanisms of performance assessment and quality assurance, archival professionals’ development and attitudes).

Data reveals that Thai archives professionals gained considerable experience in standardisation processes since they created two publications i.e. Principles of Fundamental Administration and Archives Management (Fine Arts Department, 1999) and Standard for Records and Archives Preservation of the

National Archives 2012 (Fine Arts Department, 2012). However, archivists had little exposure to archival standards for e-records or more international approaches. The results of the analysis reveal that there were some categories of standards missing in Thai practices e.g. compatibility or interoperable standards. The author suggests that Thai archives may wish to consider creating or adopting standards in that category in the future. Finally, the author hopes that the brief introduction about digital recordkeeping standards mentioned in this thesis and suggestions on standards development processes (with examples from ISO and ICA standardisation processes) can be helpful for Thai archives to consider creating or adopting standards especially for e-records management.

The results reveal that archivists regarded that existing standards may not be sufficient for future operation in digital age of the 21st century. The findings suggest that suitable kinds of standards and standardisation approach for Thai practice are either *de jure* or *de facto* standards with a degree of mandatory implementation that can supervise recordkeeping practices at national level. Also there are possibilities of adopting international standards for archival practices in the NAT. The findings lead to suggestions that developing quality of archival practices in Thailand to response to changing environment in the 21st century requires improving regulatory framework, national framework and policies for recordkeeping practices, and active outreach programmes to establish public awareness about records and archives services.

6.7 Limitations and future research

Firstly, due to limitations in time and geography the author could not collect data in-depth through interviews across all government ministries and regional branches of the NAT. The data from the survey shows that there were government officials willing to participate in interviews to provide information and opinions about recordkeeping practices in ministries. The author appreciated that many respondents of the survey may have intentionally provided high quality data about their organisation. Hence it is necessary to study the actual recordkeeping practices in government agencies in order to figure out how the NAT archivists can be involved in improving those systems and how implementing recordkeeping standards can enable records requirements to be met.

Secondly, the author could not travel to other provinces to collect data from Thai archivists working in the regional NAT branches all over the country. Doing so, would have allowed the author to examine and explore how Thai archivists in regional NAT actually performed archival practices and how archivists in those branches actually implemented any standards in performance. This could be done as part of future research to improve understanding of the way these practitioners adopted standards and to allow for a greater possibility of generalising the results to wider contexts across the country.

Thirdly, there should be more critical research on how the NAT users visit and use archival services at the NAT in order to understand users' behaviour and to plan for future services in digital era. Also research is needed to reach out to non-users/potential users and explore how the NAT can involve potential users in contributing to the improvement of archival services and management at the NAT as a national institution.

Finally, the author strongly hopes that this thesis can positively contribute to the discussion and implementation of recordkeeping standards to help develop and sustain effective recordkeeping systems in Thailand, and especially at the NAT.

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Appendices 1-15

Appendix 1 Examples of literature search results

Appendix 2 Thai/English translation of public sector survey

Appendix 3 Thai/English translation of user questionnaire

Appendix 4 Thai/English translation of non-user questionnaire

Appendix 5 Thai – English version of the official letter to the Director of the NAT

Appendix 6 Thai Participant Consent Form

Appendix 7 British Participant Consent Form

Appendix 8 Extract from English translation of sample Thai interview

Appendix 9 Examples of Thai research on ISO 9000 series standards

Appendix 10 Principles of Fundamental Administration and Archives Management
English version

Appendix 11 Handbook of Basic Principles of Archives Management English version

Appendix 12 The users' statistics of the NAT from 2003 to 2012

Appendix 13 The data from questionnaire 'Opinion of user towards the National Archives of Thailand and its branches' of 2014

Appendix 14 The data from questionnaire 'Opinion of non-user towards the NAT and its branches' of 2014

Appendix 15 The data from questionnaire 'Records and archives operation in government agency' of 2014

Appendix 1

Examples of literature search results

The examples of literature found in Thai database relating to the first question, how can standards and standardisation improve the quality of archival practices in Thailand, especially at NAT? These literatures help the author to collect data about how standards have emerged and developed in Thailand, the results of implementing existing standards in current archival practices, why there should be standards for archival practice in Thailand, and necessity of standardisation.

Year	Title	Level	Organisation
2005	Extend and Standard in Using Firearms by Officials Who Are Authorised to Enforce the Law	Master of Laws (Law)	Dhurakij Pundit University
2003	A Development of Performance Standards for Educational Technology in Higher Education Institutions in Thailand	Ph.D. in Education (Educational Communications and Technology)	Chulalongkorn University
2003	Comparative Study of ISO 9000 and TQM Systems	Master of Engineering (Industrial Engineering)	Chulalongkorn University
2003	Standard Development of Public Relations in Thailand	Ph.D. in Arts (Communication Arts)	Chulalongkorn University
2002	The Development of Standards Criteria for Teaching Profession in Thailand B.E. 2400- 2544 (1857-2001)	Master of Arts (Curriculum and Instruction)	Khon Kaen University
2002	Development of Environmental Management Standards for Municipalities	Ph.D. in Environmental Education	Mahidol University
2002	That Film Standard Development	Ph.D. in Communication Arts (Communication Arts)	Chulalongkorn University
2002	Standard Development of Television and Television Station and Television Programmes in Thailand	Ph.D. in Communication Arts (Communication Arts)	Chulalongkorn University
2001	Thai Radio Broadcasting Station Standardisation	Ph.D. in Communication Arts (Communication arts)	Chulalongkorn University
2000	Organisation Norm and Professional Standard in News Selection of Daily Newspaper Executives	Master of Arts (Journalism)	Chulalongkorn University
2000	A Development of Educational Standards for Border Patrol Police Schools	Master of Education (Educational Research)	Chulalongkorn University
2000	Hospital Standards in Physical Structure and Environment for Hospital Accreditation in Thailand	Master of Science (Public Hospital)	Mahidol University
1999	Hospital Standards in Administration and Leadership for Hospital Accreditation in Thailand	Master of Science (Hospital Administration)	Mahidol University
1997	The Development of Standards Information	Master of Arts (Library and	Ramkhamhaeng University

	Services of Thai Industrial Standards Institute (TISI) Library	Information Science)	
1997	Legal Status in the Compliance with ISO 14000 for Prevention of Industrial Pollution	Master of Laws (Law)	Chulalongkorn University
1997	Hospital Standards in Human Resource Management for Hospital Accreditation in Thailand	Master of Public Health (Hospital Administration)	Mahidol University
1996	Improvement of Industrial Product Standards Act; BE.2511 (1968) Regarding Quality Systems certification	Master of Laws (Law)	Ramkhamhaeng University
1995	The Use of Standards by Engineering Faculty Members in State Universities	Master of Arts (Library and Information Science)	Chulalongkorn University

The examples of literature found in Thai database relating to the second research question, what will be suitable for archival practices between setting up Thai standards or applying international standards. They provide data about the key elements which should be established in archival standards, how international standards were created, adopted, and used for standardised, and the key factors relating to applying (national or international) standards in particular context (Thailand).

Year	Title	Level	Organisation
2009	The Potential of the Industrial Sector in Vietnam and Lao PDR in Implementing ISO 14001:2004	Master of Science (Technology of Environmental Management)	Mahidol University
2007	Development of the Training Curriculum for the Supervisors on Environmental Management System ISO 14001: a Case Study of Sunflag (Thailand) Ltd.	Master of Arts (Environmental Education)	Mahidol University
2007	Impacts on Enterprises Implementing the Thai Labour Standard (TLS 8001-2003)	M.Sc. Thesis	Mahidol University
2005	Factors Influencing the Decision to Implement Environmental Management System ISO 14001 Standard for Small and Medium Enterprises (SMEs) in Automotive and Electrical Appliance and Electronic Industries	Master of Science (Appropriate Technology for Resources and Environmental Development)	Mahidol University
2005	Factors Effecting the Implementation of Environmental Management System ISO 14001 and Application to SMEs of Food	Master of Science (Environmental Planning for Community and Rural Development)	Mahidol University

	Industry in Bangkok Metropolitan and Vicinity		
2005	The Agenda Setting and Public Policy Formulation: a Case Study of Agricultural Commodities and Food Standards Policy in Thailand	Ph.D. in Arts (Political Science)	Chulalongkorn University
2005	Factors Influencing the Decision to Implement ISO 14001 Standard for Small and Medium Enterprises (SMEs) in Automotive and Electronical Appliance and Electronic Industries	M.Sc. Thesis	Mahidol University
2005	A Study on Problems and Obstacles of ISO 14001 System Implementation After Certification: Case Study of Automobile Industry	Institute of Research and Development	Kasetsart University
2003	The Effects of Applying Exposure Draft of Thai Accounting Standard on Agriculture Accounting to Flowering and Ornamental Plants in Thailand	Master of Accountancy (Accounting)	Chulalongkorn University
2003	The Effects of Applying Exposure Draft of Thai Accounting Standard on Agriculture Accounting to Swine Farming in Thailand	Master of Accountancy (Accounting)	Chulalongkorn University
2003	The Effects of Applying Thai Accounting Standard: Agriculture Accounting to Rubber Plantations for Produce Field Latex in Thailand	Master of Accountancy (Accounting)	Chulalongkorn University
2003	The Effects of Using Thai Accounting Standard on Agriculture Accounting on Property Development Companies Listed in the Stock Exchange of Thailand	Master of Accountancy (Accounting)	Chulalongkorn University
2003	The Feasibility of Applying Exposure Draft of Thai Accounting Standard on Agriculture Accounting to Shrimp Farming in Thailand	Master of Accountancy (Accounting)	Chulalongkorn University
2003	Factors Influencing the Implementation of the Quality Management System ISO 9000: 2000: a Case Study of the Thai Frozen Foods Association	Master of Science (Appropriate Technology for Resource and Environmental Development)	Mahidol University
2002	A Study of the Adoption of the ISO 9002 Standard Quality System in Secondary Schools under the Department of General Education	Master of Educational Management	Srinakharinwirot University
2002	Human Development for	Master of Education	Mahidol University

	Environmental Management Systems ISO 14001	(Environmental Education)	
2002	Legal Problems of Teaching Professional Standards under National Education Act B.E. 2542(1999)	Master of Law (Laws)	Chulalongkorn University
2002	Factors Affecting Implementation of ISO 9000 and ISO 14001 of Factories under the Responsibility of Industrial Estate Authority of Thailand	Master of Science (Environmental Planning for Community and Rural Development)	Mahidol University
2002	Necessity for Industries to Maintain Environment Management System (ISO 14001) in Thailand	Master of Science (Appropriate Technology for Resource Development)	Mahidol University
2002	Case Studies Result of ISO 9000 Quality Management System of Constructions Materials Industry in Thailand	Master of Engineering (Civil Engineering)	King Mongkuts University of Technology Thonburi
2002	Potentials of ISO 9000 and ISO 14000 Application for Vocational Education in Thailand	Master of Science (Appropriate Technology for Resources Development)	Mahidol University
2001	Problems and Difficulties of ISO 14001 Implementation: Case Study of Training Lead Consultancy ISO 14001 Projects (TLC ISO 14001 Projects)	Master of Science (Appropriate Technology for Resources Development)	Mahidol University
2001	The Quality of Working Life of Employees in Garment Manufacturers: a Comparative Study in Business Firms with and without the Implementation of the ISO 9000 of the International Organisation for Standardisation	Master of Social Work (Social Welfare Project Management)	Huachiew Chalermprakiet University
2001	Legal Framework for Regulating Electricity Industry and International Standard	Master of Law (Laws)	Chulalongkorn University
2001	Protection of Legal Foreign Migrant Workers in Thailand: Case Study of International Labour Standards and Thai Law	Master of Law (Laws)	Chulalongkorn University
2001	Case Study of ISO 9000 Approach for Work Improvement in Public Sector	Master of Engineering (Civil Engineering)	King Mongkuts University of Technology Thonburi
2001	Case Study of ISO 9000 Evaluation in Construction Projects	Master of Engineering (Civil Engineering)	King Mongkuts University of Technology Thonburi
2001	Problems and Difficulties of ISO 14000 Implementation: Case Study of Training Lead Consultancy ISO 14001	Master of Science (Technology of Environmental Management)	Mahidol University

	Projects		
2001	Development of a Quality Management System for Academic Resource Services Center in Vocational Colleges Based on the ISO 9000	Master of Education (Educational Technology)	Sukhothai Thammathirat
2001	Development of a Quality Management System for Labour Training Services Based on the ISO 9000	Master of Education (Educational Technology)	Sukhothai Thammathirat
2001	A Study of Certification Body Selection for ISO 9000 in the Company of Construction Business	Master of Engineering (Civil Engineering)	King Mongkuts University of Technology Thonburi
2001	The Potential of ISO 9000 and ISO 14000 Application for Vocational Education in Thailand	Master of Science (Appropriate Technology for Resources Development)	Mahidol University
2000	Factors Relating to the Success of ISO 9000 Implementation at Nursing Colleges of Praborommarajanock Institute, Ministry of Public Health	Ph.D. in Population Education	Mahidol University
2000	The Implementation of Occupational Health and Safety Management System Standards (TIS 18001): Case Study of the Siam Cement (Lampang) Co., Ltd.	Master of Business Administration (Business Administration)	Chiang Mai University
2000	The Potentials of Environmental Management System (ISO 14001) in Secondary Schools under the Department of Secondary Education of Thailand	Master of Science (Appropriate Technology for Resource Development)	Mahidol University
2000	Socio-Economic Aspect of the Factories in Industrial Estates and the Acceptance of Environmental Management System: ISO 14001	Master of Science (Appropriate Technology for Resource Development)	Mahidol University
1999	Organisational Culture Affecting the Effectiveness of ISO 9002 Standard Implementation in the Secondary Schools under the Jurisdiction of the Department of General Education	Master of Education (Educational Administration)	Silpakorn University
1999	The Application of ISO 9000 Standard System on Thailand's Export Business to the European Union	Master of Science (Economics). Economics (Economics)	Kasetsart University
1999	Strategic Management of Reorganisation (Used ISO 9000 as a Guideline). A Case Study: Sondgray Nonwoven Co., Ltd	Master of Business Administration (Management)	Saint John's University
1998	An Application of 'ISO 9001'	M.Ed. Thesis	Mahidol University

	for an Effective Management if training and Seminar Services in Thailand		
1998	Child Labour Protection under the Labour Protection Act B.E. 2541: a Comparative Study with the Standards of International Labour Law and Foreign Law	Master of Law (Laws)	Dhurakijpundit University
1998	The Development of Thai Legislation to Conform with the International Standards for Environmental Labelling (ISO Series 14020)	Master of Laws	Chulalongkorn University
1997	Environmental Awareness of Government and Private Sector of Sustainable Development; a Case Study of the International Organisation for Standardisation ISO 14000	Master of Arts (Political Science)	Ramkhamhaeng University
1997	The Establishment of ISO 9000 in Construction; a Case Study of Siam Construction Public Co., Ltd.	Master of Business Administration (Business Administration)	Chiang Mai University
1996	The Problem of Standardisation and Control of Private Security Business through Legal Measures	Master of Laws (Law)	Ramkhamhaeng University
1973	A Study of Comprehensive Secondary School Libraries as Evaluated According to the Minimum Standards for Secondary School Libraries Recommended by the Ministry of Education, Thailand	Master of Library Sciences	Srinakharinwirot University

The examples of literature found in Thai database relating to the third research question, what are attitudes of archival professionals towards standards and standardisation.

Year	Title	Level	Organisation
2012	The Attitude of the Customers Contacting with Small and Medium Enterprises (SMEs) without ISO 9000 Standard Certification. Case Study: Tai Fou Long International Co., Ltd	Master of Management Program in Small and Medium Enterprises Management	Burapha University
2003	Knowledge and Attitude of Swine Farmers towards Environmental Management System ISO 14001 In Ratchaburi Province	Master of Education (Environmental Education)	Mahidol University
2003	Attitudes and Practices of Advertising Professionals on Standardisation of	Master of Arts (Advertising)	Chulalongkorn University

	Advertising		
2002	Information Exposure, Knowledge, Attitude and Acceptance of ISO 9001:2000 Standards among Manufacture Employees in Asian Autoparts CP., Ltd.	Master of Communication Arts (Development Communication)	Chulalongkorn University
2001	The Study into the Attitude and Readiness of the Entrepreneurs Printing Business in Bangkok towards Quality Management (ISO 9000)	Master of Science in Industrial Education (Technology Education)	King Mongkuts University of Technology Thonburi
2000	A Study Opinions of Administrators and Teachers on the Readiness for Educational Quality Assurance and Standard Accreditation of Non-Formal Private Schools	Master of Education (Non-formal Education)	Chulalongkorn University
1999	Opinions of Administrators and Instructors towards Academic Administration Operating System Concerning Educational Standard Quality (ISO 9000) of Education Faculty in the State Higher Education Institutions under the Ministry of University Affairs in Bangkok metropolis	Master of Education (Educational Administration)	Ramkhamhaeng University
1998	Workers ISO 9000 Adoption: A Case Study of Concrete Plant of TPI Concrete Co., Ltd	Master of Science (Industrial Psychology). Psychology (Industrial Psychology)	Kasetsart University
1997	The Viewpoints of Library Administrators and Librarians in Rajamankala Institute of Technology on Standards for Vocational and Technological Libraries 1992 Edition	Master of Arts (Library and Information Science)	Chulalongkorn University
1997	Factors Affecting to ISO 9000 Adoption of Industrial Workers: Study Case Only Press Plant of Siam Motors and Nissan Co., Ltd.	Master of Science (Industrial Psychology). Psychology (Industrial Psychology)	Kasetsart University
1997	Assessing the Attitudes toward and Need for National Occupation Skill Standards in Thailand	Ph.D. Thesis	Ohio State University
1994	The Exposure to Information and the Attitude of Manufacturers towards the Thai Industrial Standards Institute	Master of Arts (Mass Communication)	Thammasat University
1992	Opinions of Government	Master of Arts (Thai	Mahasarakham

	Officials on the Draft of Rajamangala Institute of Technology's Library Standard 1987	Studies-Library and Information Sciences)	University
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Appendix 2

Thai/English translation of public sector survey

This is the questionnaire of “records and archives operation in government agency” which was sent by post in paper format to seven selected ministries as research samples during 1st December 2013 to the 31st January 2014. The questionnaire was administered in Thai. Translations from Thai into English were done by the author, Pimphot Seelakate.

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วันที่

เรียน

เรื่อง ขอบความอนุเคราะห์หัดอบแบบสอบถามเพื่อประกอบเอกสารการวิจัย

ข้าพเจ้านางสาวพิมพ์พจน์ สีลาเขต นักศึกษารับทุนสำนักงานคณะกรรมการการอุดมศึกษา(สกอ.) กำลังศึกษาระดับปริญญาเอกในสาขาการจัดการเอกสารและจดหมายเหตุ ณ มหาวิทยาลัย University College London(UCL) กรุงลอนดอน ประเทศอังกฤษ ได้รับอนุมัติให้ทำหัวข้องานวิจัยเรื่องมาตรฐานการปฏิบัติงานด้านจดหมายเหตุในประเทศไทย โดยจุดประสงค์ของงานวิจัยในครั้งนี้คือการมุ่งพัฒนาคุณภาพของมาตรฐานด้านการจัดการเอกสารและจดหมายเหตุในระดับประเทศซึ่งเป็นประเด็นสำคัญ

เนื่องจากการศึกษาวิจัยในครั้งนี้จำเป็นต้องเก็บข้อมูลเรื่องการดำเนินงานด้านการจัดการเอกสารและจดหมายเหตุของหน่วยงานภาครัฐ ข้าพเจ้าจึงใคร่ขอความกรุณาให้บุคลากรที่เกี่ยวข้องในหน่วยงานของท่าน สละเวลาตอบแบบสอบถาม โดยข้อมูลที่ได้จากการทำแบบสอบถามจะนำไปใช้เพื่อการศึกษาวิจัยและจะไม่มี การเปิดเผยชื่อหรือข้อมูลส่วนบุคคลของผู้ตอบแบบสอบถาม ท่านสามารถส่งแบบสอบถามที่ดำเนินการเสร็จ แล้วกลับมาที่ผู้วิจัยโดยใช้ซองจดหมายจำหน่ายซองตามที่แนบมาพร้อมแบบสอบถาม ภายในวันที่ 31 มกราคม พ.ศ.2557 หากท่านมีข้อสงสัยสามารถสอบถามเพิ่มเติมได้ทาง p.seelakate.11@ucl.ac.uk ขอขอบพระคุณในความเอื้อเฟื้อของท่านมา ณ ที่นี้

จึงเรียนมาเพื่อโปรดพิจารณาอนุญาตและโปรดช่วยดำเนินการ

คู่มือในการทำแบบสอบถาม

แบบสอบถามชุดนี้มีวัตถุประสงค์ในการเก็บข้อมูลเรื่องการจัดการเอกสารและจดหมายเหตุในหน่วยงานภาครัฐ เพื่อใช้ประกอบการศึกษาเรื่องมาตรฐานด้านการปฏิบัติงานด้านจดหมายเหตุ อันจะนำไปสู่การพัฒนาระบบการจัดเก็บเอกสารและจดหมายเหตุในระดับประเทศต่อไป แบบสอบถามชุดนี้ประกอบด้วย 3 หัวข้อคือ

หัวข้อ 1. การจัดการเอกสารและจดหมายเหตุ จำนวนคำถาม 21 ข้อ

หัวข้อ 2. ความคิดเห็นของท่านต่อการจัดเก็บเอกสารและจดหมายเหตุในหน่วยงาน
จำนวนคำถาม 15 ข้อ

หัวข้อ 3. ข้อมูลส่วนบุคคล จำนวนคำถาม 5 ข้อ

ความหมาย:

1. เอกสาร หมายถึง กระดาษหรือวัสดุอื่น ๆ ที่ใช้ในการนำเสนอตัวอักษร ตัวเลข ภาพ แสง เสียง โดยการบันทึกด้วยวิธีเขียน

พิมพ์หรือวิธีการทางอิเล็กทรอนิกส์อื่นๆ

2. จดหมายเหตุ หมายถึง เอกสารที่สิ้นกระแสการใช้งานแล้วหรือไม่ได้ถูกนำมาใช้การทำงานในหน่วยงานอีกต่อไปแต่ได้รับ

การประเมินคุณค่าว่าสมควรเก็บรักษาไว้เพื่อประโยชน์ต่อการศึกษาวิจัย รวมทั้งเอกสารที่สำคัญและเป็นประวัติศาสตร์ของหน่วย

หมายเหตุ: ความหมายของคำศัพท์แปลมาจากพระราชบัญญัติจดหมายเหตุแห่งชาติ พ.ศ.

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1. การจัดการเอกสารและจดหมายเหตุ

เลือกคำตอบและ/หรือเขียนอธิบายว่าคำตอบใดสอดคล้องกับสภาพการดำเนินงานด้านการจัดการเอกสารและจดหมายเหตุในหน่วยงานของท่านมากที่สุด

1. กรุณาแสดงรายละเอียดโครงสร้างการบริหารงานของหน่วยงานของท่านจนถึงระดับสูงสุด (กระทรวง)

สามารถแนบแผนภูมิโครงสร้างองค์กรมากับแบบสอบถามนี้ได้

2. จำนวนบุคลากรในหน่วยงานของท่านที่รับผิดชอบเรื่องการจัดการเอกสารและจดหมายเหตุมีทั้งสิ้น

..... คน

	ตำแหน่ง	ลักษณะงานที่ทำ
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4.		
5.		
6.		
7.		

3. บุคลากรในหน่วยงานของท่านเคยได้รับการฝึกอบรม/ดูงานในด้านต่อไปนี้หรือไม่? อย่างไร? (สามารถ

เลือกตอบได้มากกว่า 1 ข้อ)

	เคย	ไม่เคย	รูปแบบของการฝึกอบรม/ดูงาน
ด้านการจัดการเอกสาร			
ด้านงานจดหมายเหตุ			
ด้านการประกันคุณภาพ			
ด้านการใช้เทคโนโลยีคอมพิวเตอร์			

ด้านอื่นๆ (โปรดระบุ)

4. หน่วยงานของท่านมีคณะกรรมการที่เกี่ยวข้องกับการจัดการเอกสารและจดหมายเหตุหรือไม่?

☐ มีคณะกรรมการทั้งสิ้น ชุด ดังนี้

ชื่อชุดคณะกรรมการ	จำนวน กรรมการที่ เป็นบุคคล ภายใน	จำนวน กรรมการที่ เป็น บุคคลภายนอก	วาระกรรมการ (ปี)

☐ ไม่มีคณะกรรมการที่เกี่ยวข้องกับการจัดการเอกสารและจดหมายเหตุ

5. หน่วยงานของท่านมีการบังคับใช้กฎระเบียบในข้อใดบ้าง สำหรับการปฏิบัติงานด้านเอกสารและจดหมายเหตุในหน่วยงาน? (สามารถเลือกตอบได้มากกว่า 1 ข้อ)

<input type="checkbox"/>	ระเบียบสำนักนายกรัฐมนตรี ว่าด้วยงานสารบรรณ พ.ศ. ๒๕๒๖
<input type="checkbox"/>	ระเบียบสำนักนายกรัฐมนตรี ว่าด้วยงานสารบรรณ (ฉบับที่ ๒) พ.ศ. ๒๕๔๘
<input type="checkbox"/>	ระเบียบว่าด้วยการรักษาความลับของทางราชการ พ.ศ. ๒๕๔๔
<input type="checkbox"/>	พระราชบัญญัติข้อมูลข่าวสารของราชการ พ.ศ. ๒๕๔๐
<input type="checkbox"/>	พระราชบัญญัติจดหมายเหตุแห่งชาติ พุทธศักราช ๒๕๕๖

☐ ระเบียบภายในที่ออกโดยหน่วยงานของกระทรวง (โปรดระบุ)

☐ กฎหมายหรือระเบียบอื่นๆที่ออกโดยหน่วยงานนอกกระทรวง (โปรดระบุ)

6. หน่วยงานของท่านจัดเก็บสื่อประเภทใดบ้าง? (สามารถเลือกตอบได้มากกว่า 1 ข้อ)

<input type="checkbox"/>	เอกสารทั่วไป เช่น หนังสือราชการ รายงาน บันทึกการประชุม ฯลฯ
<input type="checkbox"/>	สิ่งพิมพ์ขนาดใหญ่ เช่น ไปสเตอร์ แผนที่ พิมพ์เขียว ฯลฯ
<input type="checkbox"/>	สื่อโสตทัศน์ เช่น เทปบันทึกเสียง เทปบันทึกภาพ แผ่นเสียง ไมโครฟิล์ม ฯลฯ
<input type="checkbox"/>	สื่อดิจิทัล เช่น เอกสารอิเล็กทรอนิกส์(e-record) หนังสืออิเล็กทรอนิกส์(e-book) CD
<input type="checkbox"/>	หนังสือ
<input type="checkbox"/>	หนังสือพิมพ์
<input type="checkbox"/>	ภาพถ่าย
<input type="checkbox"/>	เอกสารส่วนบุคคล เช่น จดหมาย ไปรษณีย์ ไดอารี่

	ของที่ระลึก
	อื่นๆ (โปรดระบุ) _____

7. เอกสารและจดหมายเหตุเข้ามาในหน่วยงานของท่านด้วยวิธีใดบ้าง? (สามารถเลือกตอบได้มากกว่า 1 ข้อ)

<input type="checkbox"/>	บุคลากรในหน่วยงานเป็นผู้สร้างเอกสารขึ้นมาและจัดเก็บไว้ที่หน่วยงาน
<input type="checkbox"/>	ได้รับและโอนย้ายมาจากหน่วยงานต่างๆภายในกระทรวง โดยผ่านการประเมินคุณค่าแล้ว
<input type="checkbox"/>	ได้รับและโอนย้ายมาจากหน่วยงานต่างๆภายในกระทรวง โดยที่ยังไม่ได้ประเมินคุณค่า
<input type="checkbox"/>	หน่วยงานต่างๆส่งมอบให้ตามระเบียบงานสารบรรณ พ.ศ. ๒๕๒๖และฉบับที่ ๒ พ.ศ. ๒๕๔๘
<input type="checkbox"/>	หน่วยงานต่างๆส่งมอบให้ตามตารางกำหนดอายุเอกสารของกระทรวง
<input type="checkbox"/>	ได้รับบริจาคจากบุคคลหรือหน่วยงานต่างๆ
<input type="checkbox"/>	จัดซื้อจากบุคคลหรือหน่วยงานภายนอกกระทรวง
<input type="checkbox"/>	ทำสำเนาจากบุคคลหรือหน่วยงานภายนอกกระทรวง
<input type="checkbox"/>	อื่นๆ (โปรดระบุ) _____

8. เมื่อหน่วยงานของท่านได้รับเอกสาร มีการดำเนินการอย่างไร? (สามารถตอบได้มากกว่า 1 ข้อ)

<input type="checkbox"/>	บันทึกรายการลงทะเบียนรับมอบเอกสาร
<input type="checkbox"/>	ตรวจสอบภาพเอกสาร
<input type="checkbox"/>	ทำความสะอาดและซ่อมแซมเอกสาร
<input type="checkbox"/>	จัดเก็บไว้เพื่อรอจัดเรียงต่อไป
<input type="checkbox"/>	อื่นๆ (โปรดระบุ) _____

9. หน่วยงานของท่านมีการประเมินคุณค่าเอกสารที่ได้รับมอบหรือไม่? อย่างไร? (สามารถตอบได้มากกว่า 1 ข้อ)

<input type="checkbox"/>	มีการประเมินคุณค่า โดยใช้ตารางกำหนดอายุเอกสาร
<input type="checkbox"/>	มีการประเมินคุณค่า โดยใช้ระเบียบงานสารบรรณ พ.ศ. ๒๕๒๖และฉบับที่ ๒ พ.ศ. ๒๕๔๘
<input type="checkbox"/>	มีการประเมินคุณค่า โดยผู้ปฏิบัติงานในหน่วยงานจดหมายเหตุเป็นผู้ประเมินคุณค่า
<input type="checkbox"/>	มีการประเมินคุณค่า โดยแต่งตั้งคณะกรรมการเพื่อประเมินคุณค่า
<input type="checkbox"/>	อื่นๆ (โปรดระบุ) _____
<input type="checkbox"/>	ไม่มีการประเมินคุณค่าเอกสาร เนื่องจาก _____

10. หน่วยงานของท่านมีการจัดเรียงเอกสารหรือไม่? (สามารถตอบได้มากกว่า 1 ข้อ)

	เรียงตามหน่วยงานเจ้าของเอกสาร	
	เรียงตามลำดับอักษรของชื่อบุคคล	
	เรียงตามลำดับเวลา	
	เรียงตามหัวเรื่อง	
	อื่นๆ (โปรดระบุ) _____	
	ไม่มีระบบการจัดเรียงเอกสาร เนื่องจาก _____	

11. หน่วยงานของท่านมีการจัดทำเครื่องมือช่วยค้นเอกสาร จดหมายเหตุและเอกสารสำคัญหรือเป็นประวัติศาสตร์ของหน่วยหรือไม่?

(สามารถตอบได้มากกว่า 1 ข้อ)

	บัญชีรายการเอกสาร		สาระสังเขป
	บัตรรายการ		ดรรชนี
	คู่มือแนะนำ		เครื่องมือช่วยค้นออนไลน์/ฐานข้อมูล
	อื่นๆ (โปรดระบุ) _____		ไม่มีเนื่องจาก _____

12. หน่วยงานของท่านมีรูปแบบการลงรายการเอกสารที่ได้รับมอบมาหรือไม่?

	มี โดยใช้รูปแบบการลงรายการที่กำหนดขึ้นเองโดยหน่วยงานจดหมายเหตุ
	มี โดยใช้รูปแบบการลงรายการที่กำหนดโดยหน่วยงานอื่นภายในประเทศไทย คือ (โปรดระบุ) _____
	มี โดยใช้รูปแบบการลงรายการที่กำหนดโดยหน่วยงานต่างประเทศ คือ (โปรดระบุ) _____
	ไม่มีรูปแบบการลงรายการ เนื่องจาก _____

13. หน่วยงานของท่านจัดเก็บเอกสารอย่างไร? (สามารถตอบได้มากกว่า 1 ข้อ)

	เก็บใส่แฟ้มและใส่ในลิ้นชักหรือตู้เก็บเอกสาร		เก็บใส่แฟ้ม มัดด้วยเชือก วางบนพื้นที่ว่างในสำนักงาน
	เก็บใส่แฟ้มและวางบนชั้นเก็บเอกสาร		เก็บใส่แฟ้มและกล่องกระดาษทั่วไป วางบนชั้นเก็บเอกสาร
	เก็บใส่แฟ้มและกล่องทำด้วยวัสดุไร้กรด วางบนชั้นเก็บเอกสาร		อื่นๆ (โปรดระบุ) _____

14. หน่วยงานของท่านมีห้องเก็บเอกสารแยกจากห้องปฏิบัติงานหรือไม่ อย่างไร? (สามารถตอบได้มากกว่า 1 ข้อ)

☐

มีห้องเก็บเอกสารแยก โดย

- ☐ เป็นอาคารเอกเทศ
- ☐ เป็นอาคารที่ใช้ร่วมกันกับหน่วยงานอื่นๆ
- ☐ ภายในห้องมีเครื่องปรับอากาศเปิดเฉพาะเวลาทำการ
- ☐ ภายในห้องมีเครื่องปรับอากาศเปิดตลอด 24 ชั่วโมง
- ☐ มีเครื่องวัดอุณหภูมิและความชื้น
- ☐ มีเครื่องดูดความชื้น
- ☐ มีอุปกรณ์ดับจ๊ับควัน
- ☐ มีอุปกรณ์ดับเพลิง
- ☐ มีอุปกรณ์อื่นๆ (โปรดระบุ)

☐

ไม่มีห้องเก็บเอกสารแยกจากห้องปฏิบัติงาน เนื่องจาก

15. หน่วยงานของท่านมีการดำเนินงานด้านการสงวนรักษาเอกสารอย่างไรบ้าง? (สามารถตอบได้มากกว่า 1 ข้อ)

	ดำเนินการเอง	จ้างหน่วยงานอื่นดำเนินการ
สำรวจเอกสารประจำปี		
ซ่อมแซมเอกสาร		
นำไปอบด้วยสารเคมี		
นำไปแช่แข็ง		
ถ่ายสำเนา		
ถ่ายเป็นวัสดุย่อยสลาย		
สแกนเป็นเอกสารดิจิทัล		

อื่นๆ (โปรดระบุ)

16. หน่วยงานของท่านมีการกำหนดนโยบายเกี่ยวกับการจัดการเอกสารและจดหมายเหตุหรือไม่? (สามารถตอบได้มากกว่า 1 ข้อ)

☐

มีนโยบายหรือข้อบังคับเรื่องการใช้เอกสาร

☐

มีนโยบายหรือข้อบังคับเรื่องการรักษาเอกสารและการใช้เครื่องมือช่วยค้น

☐

มีนโยบายหรือข้อบังคับเรื่องการยืมเอกสาร

☐

มีนโยบายหรือข้อบังคับเรื่องการถ่ายสำเนาเอกสาร

มีนโยบายหรือข้อบังคับเรื่องอื่นๆ (โปรดระบุ) _____

ไม่มีการกำหนดนโยบายหรือข้อบังคับใดๆ เนื่องจาก _____

17. กรณีที่เอกสารสิ้นกระแสการปฏิบัติงานแล้ว หน่วยงานของท่านมีการประเมินคุณค่าเอกสารว่ามีประโยชน์ทางการวิจัยหรือประโยชน์ด้านประวัติศาสตร์หรือไม่? อย่างไร? (สามารถตอบได้มากกว่า 1 ข้อ)

มีการประเมินคุณค่าและส่งเอกสารที่ไม่มีคุณค่าไปทำลายที่ (โปรดระบุ) _____

มีการประเมินคุณค่าและโอนหรือส่งมอบเอกสารที่ผ่านการประเมินไปที่ (โปรดระบุ) _____
ซึ่งทำหน้าที่ในการจัดเก็บเอกสารที่มีคุณค่าของกระทรวง

มีการประเมินคุณค่าและจัดเก็บเอกสารที่ผ่านการประเมินไว้ในหน่วยงานตามเดิม

ไม่มีการประเมินคุณค่าเอกสารเนื่องจาก _____

18. หน่วยงานของท่านมีการโอนหรือส่งมอบเอกสารที่สิ้นกระแสการปฏิบัติงานไปยังหอจดหมายเหตุแห่งชาติและสาขาหรือไม่?

☐ หน่วยงานส่งมอบเอกสารไปยังหอจดหมายเหตุแห่งชาติและสาขาทุกๆ _____ ปี /หรือทุกๆ _____ เดือน (โปรดเลือกตอบ)

☐ หน่วยงานไม่ส่งมอบเอกสารไปยังหอจดหมายเหตุแห่งชาติและสาขาเนื่องจาก (โปรดระบุ)

19. หน่วยงานของท่านมีการติดตามตรวจสอบคุณภาพของเอกสารหลังจากที่เอกสารถูกโอนไปยังหอจดหมายเหตุแห่งชาติและสาขาหรือไม่?

☐ มีการตรวจสอบและติดตามคุณภาพของเอกสาร โดยดำเนินการดังนี้ (โปรดระบุ)

☐ ไม่มีการตรวจสอบและติดตามคุณภาพของเอกสารภายหลังจากการโอนเนื่องจาก (โปรดระบุ)

20. หน่วยงานของท่านมีความร่วมมือกับหน่วยงานอื่นๆ ภายนอกกระทรวงหรือไม่? (สามารถตอบได้มากกว่า 1 ข้อ)

หอจดหมายเหตุแห่งชาติส่วนกลางและส่วนภูมิภาค

หน่วยงานจดหมายเหตุของกระทรวงต่างๆ

หอจดหมายเหตุท้องถิ่น

หน่วยงานอื่นๆ (โปรดระบุ)

กระทรวงต่างๆ

หอจดหมายเหตุมหาวิทยาลัย

หอจดหมายเหตุทางธุรกิจ (business archives)

ไม่มีความร่วมมือกับหน่วยงานอื่นๆ เนื่องจาก

21. หน่วยงานของท่านได้รับความร่วมมือและการสนับสนุนด้านการดำเนินงานจดหมายเหตุจากหอจดหมายเหตุแห่งชาติหรือไม่? อย่างไร?

☐

ได้รับความร่วมมือในด้านต่างๆ ดังนี้ (สามารถตอบได้มากกว่า 1 ข้อ)

☐ การวางระเบียบการปฏิบัติงานด้านการจัดการเอกสารจดหมายเหตุในหน่วยงานของท่านให้สอดคล้องกับ

สำนักหอจดหมายเหตุแห่งชาติ

☐ การกำหนดและใช้มาตรฐานงานด้านจดหมายเหตุตามที่สำนักหอจดหมายเหตุแห่งชาติกำหนด

☐ การจัดทำตารางกำหนดอายุเอกสาร

☐ การกำหนดนโยบายการให้บริการ

☐ การขนย้ายเอกสารจดหมายเหตุไปเก็บที่สำนักหอจดหมายเหตุแห่งชาติ

☐ การรับฝากเอกสาร

☐ การให้คำแนะนำเรื่องการดำเนินงานอนุรักษ์เอกสาร

☐ การจัดอบรมความรู้และทักษะด้านเอกสารและจดหมายเหตุแก่บุคลากรในหน่วยงานของท่าน

☐ ความร่วมมืออื่นๆ (โปรดระบุ)

☐

ไม่ได้รับความร่วมมือใดๆ เนื่องจาก

2. ความคิดเห็นของท่านต่อการจัดเก็บเอกสารและจดหมายเหตุในหน่วยงาน

ให้ท่านเลือกแสดงความคิดเห็นว่าข้อความต่อไปนี้ตรงกับสภาพการณ์ปัจจุบันของหน่วยงานท่านหรือไม่

คำตอบและความคิดเห็นของท่านจะถูกนำไปใช้ในงานวิจัยเท่านั้นและจะไม่มีการเปิดเผยชื่อหรือข้อมูลส่วนบุคคลของท่านแต่อย่างใด ขอขอบพระคุณสำหรับการสละเวลาของท่านมา ณ ที่นี้

ข้อคิดเห็น	เห็นด้วย อย่างยิ่ง	เห็นด้วย	ไม่เห็น ด้วย	ไม่เห็น ด้วยอย่าง ยิ่ง	หมายเหตุ
1.หน่วยงานของท่านมีโครงสร้างองค์กรที่ชัดเจน	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2.ผู้บริหารให้ความสำคัญกับการจัดการเอกสารและจดหมายเหตุของหน่วยงาน	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3.บุคลากรในหน่วยงานมีความรู้เรื่องการจัดการเอกสารและจดหมายเหตุ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
4.บุคลากรที่รับผิดชอบในการจัดเก็บเอกสารในหน่วยงานของท่านมีจำนวนเพียงพอ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
5.บุคลากรที่รับผิดชอบในการจัดเก็บเอกสารในหน่วยงานของท่านทำงานได้อย่างต่อเนื่องเพราะมีการเปลี่ยนหน้าที่ไม่บ่อย	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
6.มีระเบียบเป็นลายลักษณ์อักษรในการรับมอบเอกสารหรือลงทะเบียนเอกสาร	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
7.มีนโยบายเป็นลายลักษณ์อักษรเรื่องการจัดเก็บเอกสารของหน่วยงาน	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
8.มีตารางกำหนดอายุเอกสาร	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
9.มีการประเมินคุณค่าเอกสาร	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
10.มีความร่วมมือระหว่างหน่วยงานของท่านกับหน่วยงานที่มีหน้าที่บริหารและจัดเก็บเอกสารจดหมายเหตุของกระทรวง	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
11.สถานที่จัดเก็บเอกสารในหน่วยงานมีพื้นที่เพียงพอ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
12.สถานที่จัดเก็บเอกสารมีสภาพเหมาะสมต่อการจัดเก็บ เช่น สะอาด ความชื้นต่ำ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
13.ครุภัณฑ์และวัสดุอุปกรณ์ในการจัดเก็บเอกสารและจดหมายเหตุมีจำนวนเพียงพอ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
14.ได้รับงบประมาณเพียงพอ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
15.มีระบบรักษาความปลอดภัยในสถานที่จัดเก็บเอกสาร	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

3. ข้อมูลส่วนบุคคล

ส่วนสุดท้ายของแบบสอบถามเป็นข้อมูลส่วนบุคคลของผู้ทำแบบสอบถาม โดยข้อมูลทั้งหมดจะนำไปใช้เพื่อการวิจัยเท่านั้น ชื่อหรือรายละเอียดส่วนบุคคลจะไม่ถูกเปิดเผยตามที่ได้กล่าวไว้ในข้างต้น

1. ตำแหน่งปัจจุบัน _____
 ชื่อกระทรวง _____
 ชื่อกรมหรือแผนก _____
 ชื่อกอง _____

2. ระดับการศึกษาสูงสุดที่ท่านสำเร็จการศึกษา?

ระดับการศึกษา	สาขา/วิชา/ศาสตร์หรือที่สำเร็จการศึกษาในระดับดังกล่าว
<input type="checkbox"/> มัธยมศึกษาตอนปลาย	
<input type="checkbox"/> ปวช. (ประกาศนียบัตรวิชาชีพ)	
<input type="checkbox"/> ปวส. (ประกาศนียบัตรวิชาชีพชั้นสูง)	
<input type="checkbox"/> ปวท. (ประกาศนียบัตรวิชาชีพเทคนิค)	
<input type="checkbox"/> ปริญญาตรี	
<input type="checkbox"/> ปริญญาโท	
<input type="checkbox"/> ปริญญาเอก	

3. ท่านทำงานในตำแหน่งดังกล่าวมาเป็นระยะเวลาทั้งสิ้นกี่ปี?

☐ 1 – 5 ปี ☐ 6 – 10 ปี ☐ 11 – 15 ปี ☐ 16 – 20 ปี
☐ มากกว่า 20 ปี

4. ท่านยินดีที่จะให้สัมภาษณ์เรื่องการจัดการเอกสารและจดหมายเหตุในอนาคตหรือไม่ ในกรณีที่มีการเก็บข้อมูลเพิ่มเติมเพื่อการวิจัยครั้งนี้?

☐ ยินดีให้สัมภาษณ์ โดยมีรายละเอียดสำหรับการติดต่อเพื่อสัมภาษณ์ดังนี้

ชื่อของท่าน _____
 ที่อยู่ที่จะสะดวกในการติดต่อเพื่อขอสัมภาษณ์: _____

เบอร์โทรศัพท์: _____

อีเมล: _____

☐ ไม่ต้องการให้สัมภาษณ์

☐ ข้อเสนอแนะอื่นๆ

กรุณาส่งแบบสอบถามในซองจดหมายที่แนบมากับแบบสอบถามชุดนี้ส่งถึงผู้ประสานงานที่ท่านสะดวก ภายในวันที่
31 มกราคม 2557 ขอขอบพระคุณเป็นอย่างสูงสำหรับความร่วมมือและการสละเวลาของท่านในการ
ตอบแบบสอบถามชุดนี้

Miss Pimphot Seelakate
Department of Information
Studies
University College London
Gower Street, London
WC1E 6BT, United Kingdom
p.seelakate.11@ucl.ac.uk
Date:

To:

Subject:

My name is Miss Pimphot Seelakate, a sponsored student under the Project of Human Resource Development in the Humanities and the Social Sciences (2009 – 2019) by Office of the Higher Education Commission (OHEC). I am doing a research on standards and standardization for archival practices in Thailand at University College London (UCL). The results of this questionnaire will explore the current condition and levels of efficiency in recordkeeping and the information will be used as a part of a reflection of assessment in archival practices of the National Archives of Thailand.

As someone who works in a government agency, I would greatly appreciate a few minutes of your time to respond to the enclosed questionnaire. Your participation is very much appreciated and will allow me to focus on critical issues related to records and archives management in public sector. Information provided will be managed in a strictly confidential manner and all respondents will not be identified by name. Please kindly return the completed questionnaire in the provided postage paid envelope before 31 January 2014. Should you have any queries regarding this survey, you are welcomed to contact me at p.seelakate.11@ucl.ac.uk.

I thank you for your contribution to this research.

Sincerely yours,

Pimphot Seelakate

Instruction

The questionnaire 'Records and archives operation in government agency' aims to explore the current condition and levels of efficiency in recordkeeping among government as a part of a reflection of quality assessment in archival practices of the National Archives of Thailand. Therefore, the questionnaire is consisted of three parts. It should take 20 – 30 minutes to complete.

Title	questions	pages
1. Recordkeeping operations in your office	21 questions	5 pages
2. Recordkeeping issues in your office	15 questions	1 page
3. Personal information	5 questions	1 page

Terms and its meaning:

1. Records means paper or any other material representing the meanings by letter, number, image, light, sound, diagram or any other format either by means of writing, drawing, printing, photographing, recording, using electronic method or any other methods in representing any such meaning.
2. Archives means any non-current document under the possession of government agencies which has been determined by the national archives of Thailand as having historical value and being deemed to be kept in the archive for purposes of study, investigation and research.
3. Government Agency means ministry, department, division, section in central administration, provincial administration, local administration, state enterprise, government units under house of parliament, organization established in accordance with constitutional law, public organization and other agencies as prescribed in the Ministerial Regulation.

Note: the terms are cited from the National Archives Act B.E.2556 (2013)

1. Recordkeeping operations in your office

Please answer all questions in such a way as to reflect most accurate current condition of records and archives operation in your office. Most questions will require you to tick your selected response. Others will require you to write down a detail if applicable.

1. Could you please explain the organisational structure of your office under the ministry?

(Please attach an organizational or functional chart if possible)

2. There are employee(s) who is/are responsible for records and archives management in your office.

Number of employee(s)	His/her position	Main records and archives task(s) that he/she performs

3. Have the employees in your office ever been taught or trained in these knowledge and skill?

	Yes	No	Type of training
Records management			
Archival sciences			
Quality control			
Computer technology			

If they have been taught or trained in other relevant areas, *please specify*

4. Is/Are there any committee(s) responsible for records and archives management in your office?

☐ Yes, there is/are committee(s) in the office. The committee (s) is/are consisted of

Name of committee	number of internal committee member(s)	number of external committee member (s)	period of service

☐ No, there is not any committee.

5. Which regulations are implemented for recordkeeping in your ministry? (please select more than one answer when applicable)

<input type="checkbox"/>	The Regulations of the Prime Minister Office on Records Management B.E. 2526(1983)
<input type="checkbox"/>	The Regulations of the Prime Minister Office on Records Management the second and additional version B.E. 2548(2005)
<input type="checkbox"/>	The Rule on Maintenance of Official Secrets B.E. 2544 (2001)
<input type="checkbox"/>	The Official Information Act B.E. 2540 (1997)
<input type="checkbox"/>	National Archives Act B.E. 2556 (2013)

☐ Other regulations issued by the ministry (please specify)

☐ Other regulations issued by organizations outside the ministry (please specify)

6. What kinds of records are held in your office? (please select more than one answer when applicable)

<input type="checkbox"/>	paper
<input type="checkbox"/>	large formats on paper (e.g. poster, map, blue print, etc.)
<input type="checkbox"/>	audio-visual materials (CDs, VCDs)
<input type="checkbox"/>	born digital materials (e-records, e-books)
<input type="checkbox"/>	books
<input type="checkbox"/>	newspaper, clippings
<input type="checkbox"/>	photograph
<input type="checkbox"/>	personal records (e.g. diary, letter, postcard, etc.)
<input type="checkbox"/>	souvenirs/objects

If there are other formats of records in your office, please specify

7. How are the records and archives accessioned by your office?

(please select more than one answer when applicable)

- | | |
|--------------------------|---|
| <input type="checkbox"/> | the records are created by employees and stored in the office |
| <input type="checkbox"/> | the records are appraised and transferred from the creator office in the ministry |
| <input type="checkbox"/> | the records have not been appraised but they are transferred from the creator office in the ministry |
| <input type="checkbox"/> | the records are transferred to the office under to the Regulations of the Prime Minister Office on Records Management B.E. 2526(1983) and B.E. 2548(2005) |
| <input type="checkbox"/> | the records are transferred to the office according to the retention schedule of the ministry |
| <input type="checkbox"/> | the archives are donated by a person or external bodies |
| <input type="checkbox"/> | the archives are purchased from external bodies |
| <input type="checkbox"/> | the records or archives are reproduced or copied |
| <input type="checkbox"/> | Other <i>(please specify)</i> |
-

8. What do you do after accessioning? *(please select more than one answer when applicable)*

- | | |
|--------------------------|--|
| <input type="checkbox"/> | registering |
| <input type="checkbox"/> | checking condition of records |
| <input type="checkbox"/> | cleaning and repairing records |
| <input type="checkbox"/> | keep in repository for further arrangement |
| <input type="checkbox"/> | Other <i>(please specify)</i> |
-

9. Has your office selected and appraised the records? *(please select more than one answer when applicable)*

- | | |
|--------------------------|---|
| <input type="checkbox"/> | Yes, the records have been selected and appraised according to the ministry's retention schedule |
| <input type="checkbox"/> | Yes, the records have been selected and appraised according to the Regulations of the Prime Minister Office on Records Management B.E. 2526 (1983) and B.E. 2548 (2005) |
| <input type="checkbox"/> | Yes, the records have been selected and appraised by staff in the office |
| <input type="checkbox"/> | Yes, the records have been selected and appraised by the committee(s) |
| <input type="checkbox"/> | Yes, the records have been selected and appraised by other means <i>(please specify)</i> |
-
- | | |
|--------------------------|--|
| <input type="checkbox"/> | No, my office has not appraised and selected the records because |
|--------------------------|--|

☐

10. Is there any arrangement system for recordkeeping in the office? *(please select more than one answer when applicable)*

☐

Yes, arrange by principle of provenance/creating office or original unit

☐

Yes, arrange by alphabetical order

☐

Yes, arrange by chronological order

☐

Yes, arrange by subject heading

☐

Yes, arrange by other systems *(please specify)*

☐

No, there is no arrangement system for recordkeeping in the office because

11. Is there any finding aid provided in the office? *(please select more than one answer when applicable)*

☐

list of records registration

☐

catalogue card

☐

manual or instruction

☐

other *(please specify)*

☐

abstract

☐

index

☐

online database

☐

No finding aid provided because

12. Do you make description for the records?

☐

Yes, we use in-house style of cataloguing which is created by the office.

☐

Yes, we use standard style of cataloguing, created by a national institution *(please specify)*

☐

Yes, there is standard style of cataloguing, created by an international institution *(please specify)*

☐

No, we do not catalogue because

☐

13. How do you keep the records in your office? *(please select more than one answer when applicable)*

☐

keep in folder and tie with string or tape and placed on the space in the office

☐

keep in filing cabinet

☐

keep in folder and placed on the shelf

☐

keep in folder and box and placed on the shelf

☐

keep in acid-free folder and acid-free box and placed on the shelf

☐

other *(please specify)*

14. Do you have a separated storage area for your records? *(please select more than one answer when applicable)*

☐

Yes, the repository is an independent building

☐

Yes, the repository shares the space with the other offices in the building

☐

Yes, the air-conditioner is on 24 hours

<input type="checkbox"/>	Yes, the air-conditioner is on in working hours only
<input type="checkbox"/>	Yes, the repository is temperature and humidity controlled
<input type="checkbox"/>	Yes, fire alarm and fire extinguisher are installed
<input type="checkbox"/>	No, the repository is not separated from the workplace because

15. If your office holds archives, do you preserve the records? *(please select more than one answer when applicable)*

	Internal operation	outsourcing
annual inventory		
restoration/repair		
fumigation		
freezing		
reproduction		
microfilming		
digitizing		

Other *(please specify)*-----

16. Is there any policy or rule about recordkeeping in your office? *(please select more than one answer when applicable)*

<input type="checkbox"/>	Yes, there are policy about using records
<input type="checkbox"/>	Yes, there are policy about searching and using finding aids
<input type="checkbox"/>	Yes, there are policy about borrowing records
<input type="checkbox"/>	Yes, there are policy about photocopy and reproduction
<input type="checkbox"/>	Yes, there are policy about the other services <i>(please specify)</i> -----
<input type="checkbox"/>	No, there is no rule because

17. Do you appraise your non-current records in the office for historical value? *(please select more than one answer when applicable)*

<input type="checkbox"/>	Yes, we appraise and transfer non-current records to be destroyed at-----
<input type="checkbox"/>	Yes, we appraise and transfer non-current records to----- which is an office in the ministry responsible for records and archives management for further storage.
<input type="checkbox"/>	Yes, we appraise and keep them in the office.
<input type="checkbox"/>	No, we do not appraise the non-current records because

18. Do you transfer non-current records to the National Archives and its branches?

☐ Yes, we transfer non-current records to the NAT every-----

☐ No, we do not transfer non-current records to the National Archives and its branches because

19. Do you have a follow-up process to check the quality of archives after transfer to the National Archives?

☐ Yes, we have followed up to check the quality of transferred archives kept in the National Archives by

☐ No, we do not have a follow-up process after transfer because

20. Do you have any collaboration with other archival services outside your office?
(please select more than one answer when applicable)

<input type="checkbox"/>	The National Archives of Thailand and its branches	<input type="checkbox"/>	the cabinet and other ministries
<input type="checkbox"/>	the archival service in other ministries	<input type="checkbox"/>	university archives
<input type="checkbox"/>	local archives, community archives	<input type="checkbox"/>	business archives
<input type="checkbox"/>	Other (please specify)	<input type="checkbox"/>	No, because

21. Does your office receive any support or service from the National Archives of Thailand and its branches?

☐ Yes, the NAT supports us by involving in these activities (please select more than one answer when applicable)

<input type="checkbox"/>	setting a rule for recordkeeping in the organization (which is according to the NAT regulation)
<input type="checkbox"/>	helping to set and implement a standard for archival practices
<input type="checkbox"/>	consultation on creating retention schedule
<input type="checkbox"/>	advising about access and service policy
<input type="checkbox"/>	delivery of records which are transferred to the National Archives
<input type="checkbox"/>	records deposits
<input type="checkbox"/>	consultation on preservation
<input type="checkbox"/>	training or educational activities about recordkeeping
<input type="checkbox"/>	Other (please specify)

☐ No, we do not receive any support from the National Archives because

2. Recordkeeping issues in your office

Next, I would like to ask you 15 short questions about the problems related to recordkeeping in your office. For each following questions, please choose the answer that comes closest to the way you think. The answers will be treated with confidentiality and anonymity. Thank you for your co-operation.

Problem	Strongly agree	Agree	Disagree	Strongly disagree	Note
1. My office has clear and comprehensive organizational structure.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
2. The executives significantly prioritise records and archives management.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
3. The employee has knowledge in records and archives management.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
4. There are sufficient employees who are responsible for recordkeeping in my office.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
5. The employee responsible for records management does his/her job continuously due to a low rate of turnover.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
6. There is written policy and rule in records registry.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
7. There is written policy on recordkeeping.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
8. There is a retention schedule for records.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
9. The records are appraised to be kept or not.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
10. There is collaboration between your office and the office responsible for records and archives administration in the ministry.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
11. There is enough space for records storage.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
12. The place for records storage is appropriate for recordkeeping e.g. clean, low humid.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
13. The materials for storing the records are sufficient.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
14. Sufficient financial support.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
15. Established security system for recordkeeping.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

3. Personal information

Finally, I would like to ask a few questions about you to help interpreting the results.
All information provided by you will be treated as strictly confidential.

1. Current position _____
Name of Ministry _____
Department _____
Division _____

2. What is the highest level of education that you have completed?

(Please tick one box only)

Level of Education	Field of study
<input type="checkbox"/> Senior High School	
<input type="checkbox"/> Vocational Certificate	
<input type="checkbox"/> High Vocational Certificate	
<input type="checkbox"/> Technical Certificate	
<input type="checkbox"/> Bachelor Degree	
<input type="checkbox"/> Master Degree	
<input type="checkbox"/> Doctor of Philosophy	

3. How long have you been working in this position?

☐ 1 – 5 year(s) ☐ 6 – 10 years ☐ 11 – 15 years

☐ 16 – 20 years ☐ more than 20 year(s)

4. Are you willing to be interviewed for any further data collection in this research?

☐ Yes (Please give your contact detail)

Name of respondent _____

Address: _____

Telephone: _____

Email: _____

☐ No, thank you.

**Please kindly return the completed questionnaire in the provided postage paid
envelope before 31 January 2014.**

I thank you for your contribution to this research.

Appendix 3

Thai/English translation of user questionnaire

This is the questionnaire of “opinion of user towards the NAT and its branches” which was placed at the NAT in paper format and also distributed online during April 2014 (paper) and 17 July 2014 - 16 October 2014 (online). The questionnaire was administered in Thai. Translations from Thai into English were done by the author, Pimphot Seelakate.

แบบสอบถามสำหรับผู้ให้บริการสำนักหอจดหมายเหตุแห่งชาติ

แบบสอบถามชุดนี้มีจุดประสงค์ในการเก็บข้อมูลความคิดเห็นของบุคคลในเรื่องเกี่ยวกับสำนักหอจดหมายเหตุแห่งชาติ ขอความกรุณาให้ท่านช่วยสละเวลาในการตอบแบบสอบถาม 5 - 10 นาทีโดยความร่วมมือของท่านจะเป็นส่วนหนึ่งในการร่วมผลักดันการพัฒนาการศึกษาและการปฏิบัติงานด้านการจัดการเอกสารและจดหมายเหตุของประเทศต่อไปในอนาคต

บทบาทของสำนักหอจดหมายเหตุแห่งชาติ

รวบรวมข้อมูลว่าสำนักหอจดหมายเหตุแห่งชาติมีบทบาทมากน้อยเพียงใดในการสร้างความเข้าใจให้กับคนในสังคมเกี่ยวกับความสำคัญของหอจดหมายเหตุต่อการพัฒนาประเทศ กรุณาเลือกตอบว่าท่านเห็นด้วยหรือไม่กับข้อความดังต่อไปนี้

Statement about general overview	ไม่เห็นด้วยอย่างยิ่ง	ไม่เห็นด้วย	เห็นด้วย	เห็นด้วยอย่างยิ่ง	ไม่มีความเห็น	Note
1. หอจดหมายเหตุคือสถานที่เก็บรักษาหลักฐานชั้นต้นเกี่ยวกับเรื่องราวในอดีต	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
2. หอจดหมายเหตุคือแหล่งรวบรวมความรู้ เพราะมีเอกสาร ภาพถ่าย ภาพเคลื่อนไหวและบันทึกเสียงซึ่งให้ข้อมูลด้านต่าง ๆ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
3. หอจดหมายเหตุช่วยส่งเสริมอัตลักษณ์และช่วยพัฒนาชุมชน โดยทำให้คนเข้าใจความแตกต่างของแต่ละวัฒนธรรมและรับรู้สิ่งที่วัฒนธรรมต่าง ๆ เหลือทิ้งไว้เป็นมรดกตั้งแต่อดีตจนถึงปัจจุบัน	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
4. หอจดหมายเหตุสนับสนุนความมีตัวตนของเราเพราะเป็นที่เก็บเอกสารยืนยันสิทธิและสถานภาพ รวมทั้งเชื่อมโยงตัวเราเข้ากับบริบททางสังคมที่กว้างขึ้น	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
5. หอจดหมายเหตุสนับสนุนการศึกษาและส่งเสริมการเรียนรู้ตลอดชีวิต	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
6. หอจดหมายเหตุช่วยอนุรักษ์วัฒนธรรมโดยให้ข้อมูลในภาพรวมเพื่อสร้างความเข้าใจเกี่ยวกับเรื่องราวในอดีต	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
7. หอจดหมายเหตุทำหน้าที่จัดเก็บเอกสารซึ่งอาจใช้เป็นหลักฐานหรือข้อมูลให้แก่หน่วยงานเอกชนและส่วนราชการใช้ในการตรวจสอบความถูกต้องของการบริหารองค์กร	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		

ในฐานะผู้ใช้บริการสำนักหอจดหมายเหตุแห่งชาติ กรุณาเลือกตอบว่าท่านเห็นด้วยหรือไม่กับข้อความดังต่อไปนี้

เรื่องทั่วไป	เห็นด้วย อย่างยิ่ง	เห็นด้วย	ไม่เห็น ด้วย	ไม่เห็น ด้วยอย่าง ยิ่ง	ไม่ทราบ/ ไม่มี ความเห็น	Note
1. ท่านพบว่าเอกสารจดหมายเหตุที่ท่านเคยใช้ล้วนเป็นเป็นเอกสารที่มีคุณค่ามีประโยชน์ต่อการศึกษาวิจัยและสมควรได้รับการเก็บรักษาที่สำนักหอจดหมายเหตุ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
2. การบริหารและการจัดการดำเนินงานภายในหอจดหมายเหตุมีความสมบูรณ์และให้ประโยชน์สูงสุด	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
3. หอจดหมายเหตุมีการให้บริการอย่างเป็นระบบ เช่น มีแบบลงทะเบียนผู้ค้นคว้า แบบฟอร์มการขอยืมเอกสาร แบบฟอร์มการขอทำสำเนาเอกสาร	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
4. หอจดหมายเหตุดำเนินการตามระเบียบอย่างเคร่งครัด ได้แก่ การทำบัตรแลกเปลี่ยนลงทะเบียนก่อนเข้าใช้บริการ บัตรประจำตัวผู้ค้นคว้า การรับฝากของก่อนเข้าห้องค้นคว้า การตรวจความครบถ้วนของเอกสารเมื่อผู้ค้นคว้าส่งคืน	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
5..เจ้าหน้าที่ดูแลการใช้เอกสารอย่างใกล้ชิดและมีการวางระเบียบเพื่อให้ผู้ค้นคว้าใช้เอกสารอย่างระมัดระวัง	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
6. มีการรักษาความลับของข้อมูลในเอกสารจดหมายเหตุตามที่กฎหมายกำหนด	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
7. สำนักหอจดหมายเหตุแห่งชาติมีภาพลักษณ์ที่ดีในทัศนะของผู้ใช้บริการ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
8. ความสัมพันธ์ระหว่างหอจดหมายเหตุกับผู้ใช้บริการเป็นไปในทางที่ดี มีการสนับสนุนซึ่งกันและกัน	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		

สถานที่และสิ่งอำนวยความสะดวกในหอจดหมายเหตุแห่งชาติ	เห็นด้วย อย่างยิ่ง	เห็นด้วย	ไม่เห็น ด้วย	ไม่เห็น ด้วยอย่าง ยิ่ง	ไม่ทราบ/ ไม่มี ความเห็น	หมายเหตุ
1. ตู้ฝากของและจุดให้บริการตอบคำถามอยู่ในบริเวณที่เหมาะสม สะดวกต่อการเข้าใช้	○	○	○	○		
2. ห้องบริการรวมถึงห้องอ่านไมโครฟิล์มมีพื้นที่กว้างขวาง มีการจัดที่นั่งได้อย่างเหมาะสม	○	○	○	○		
3. ห้องบริการและห้องอ่านไมโครฟิล์มมีอุณหภูมิและแสงที่เหมาะสมต่อเอกสาร/สำเนาเอกสาร	○	○	○	○		
4. ห้องบริการและห้องอ่านไมโครฟิล์มมีเสียงรบกวนในระดับต่ำและมีบรรยากาศที่เหมาะสมต่อการศึกษาค้นคว้า	○	○	○	○		
5. เครื่องเล่นวีดิทัศน์ เครื่องเล่นเทป บันทึกเสียง เครื่องอ่านไมโครฟิล์ม เครื่องคอมพิวเตอร์มีจำนวนเพียงพอ	○	○	○	○		
6. เครื่องเล่นวีดิทัศน์ เครื่องเล่นเทป บันทึกเสียง เครื่องอ่านไมโครฟิล์ม เครื่องคอมพิวเตอร์มีประสิทธิภาพและมีประโยชน์ต่อผู้ใช้	○	○	○	○		
7. จำนวนที่นั่งอ่านเอกสารมีจำนวนเพียงพอ	○	○	○	○		
8. วัสดุครุภัณฑ์ที่จัดเก็บ เช่น กล่อง แฟ้ม กระดาษ มีความเหมาะสมต่อการจัดเก็บเอกสารจดหมายเหตุตามลักษณะและประเภทของเอกสาร	○	○	○	○		
9. มีเครื่องมือดับเพลิงติดไว้ตามจุดต่างๆที่สามารถมองเห็นได้	○	○	○	○		
10. มีการจัดเจ้าหน้าที่คอยดูแลรักษาความปลอดภัยตลอดระยะเวลาที่เปิดให้บริการ	○	○	○	○		
11. หอจดหมายเหตุตั้งอยู่ในทำเลที่ท่านสามารถเดินทางไปใช้บริการได้สะดวก	○	○	○	○		

การบริการในหอจดหมายเหตุแห่งชาติ	เห็นด้วย อย่างยิ่ง	เห็นด้วย	ไม่เห็น ด้วย	ไม่เห็น ด้วยอย่าง ยิ่ง	ไม่ทราบ/ ไม่มี ความเห็น	หมายเหตุ
1. ผู้ให้บริการมีความรู้และมีประสบการณ์ในการให้บริการ	○	○	○	○		
2. ผู้ให้บริการมีจำนวนเพียงพอ	○	○	○	○		
3. ผู้ให้บริการให้บริการด้วยความเท่าเทียม	○	○	○	○		
4. ผู้ให้บริการอธิบายระเบียบข้อปฏิบัติในการ	○	○	○	○		

ใช้หोजดหมายเหตุแก่ท่านอย่างชัดเจน						
5. ผู้ใช้เอกสารให้คำแนะนำแก่ท่านเรื่องวิธีการค้นคว้าเอกสาร	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
6. ผู้ให้บริการให้คำตอบและแนะนำข้อมูลได้ตรงตามที่ท่านต้องการ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
7. ผู้ให้บริการตรวจสอบเอกสารที่มาจากห้องเก็บก่อนออกให้บริการและตรวจอีกครั้งเมื่อผู้ค้นคว้าใช้เสร็จก่อนส่งคืนห้องเก็บ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
8. มีการจัดบริการประเภทต่าง ๆ ตามที่ได้กำหนดไว้	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
9. หากเอกสารที่ท่านต้องการใช้มีผู้อื่นใช้อยู่เจ้าหน้าที่สามารถแนะนำท่านให้ใช้เอกสารชุดอื่นแทนได้	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
10. ท่านพบเอกสารที่ท่านต้องการใช้	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
11. สิทธิต่าง ๆ และระเบียบในการเข้าค้นคว้าเอกสารมีความเหมาะสม	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
12. ท่านใช้บริการฝากสิ่งของก่อนที่จะเข้าค้นคว้าในห้องบริการทุกครั้ง	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
13. ท่านพบว่าเมื่อเอกสารชำรุดก่อนที่ท่านจะใช้บริการ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
14. ท่านได้รับเอกสารจดหมายเหตุหรือสำเนาเอกสารที่ต้องการใช้ภายในระยะเวลาที่กำหนด	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
15. สำเนาเอกสารจดหมายเหตุ สำเนาภาพถ่ายที่สั่งทำมีความถูกต้อง ครบถ้วนชัดเจน	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
16. ท่านไม่ได้รับอนุญาตให้นำเอกสารต้นฉบับออกนอกหोजดหมายเหตุ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
17. มีบริการตอบคำถามเกี่ยวกับข้อมูลเอกสารจดหมายเหตุทางไปรษณีย์และโทรศัพท์	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		

ทรัพยากรในหोजดหมายเหตุแห่งชาติ	เห็นด้วยอย่างยิ่ง	เห็นด้วย	ไม่เห็นด้วย	ไม่เห็นด้วยอย่างยิ่ง	ไม่ทราบ/ไม่มีความเห็น	หมายเหตุ
1. มีการจัดเอกสารจดหมายเหตุชุดใหม่ออกให้บริการเพิ่มขึ้นอย่างต่อเนื่อง	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
2. มีการจัดทำสำเนาไมโครฟิล์มเพิ่มขึ้นออกให้บริการอย่างต่อเนื่อง	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
3. หนังสืออ้างอิงและสิ่งพิมพ์ต่าง ๆ มีจำนวนเพียงพอต่อการให้บริการและมีความทันสมัย	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
4. มีเครื่องมือช่วยค้นให้บริการ (บัญชีสำรวจ)						

เอกสาร สารสนเทศ ดัชนีค้นเรื่องและคู่มือ แนะนำเอกสาร)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
5. เครื่องมือช่วยค้นมีรายละเอียดของเอกสาร ครบถ้วน พิมพ์ถูกต้องชัดเจน	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
6. เครื่องมือช่วยค้นทำให้ท่านทราบว่า เอกสารชุดอื่นใกล้เคียงที่จัดเรียงอยู่ก่อน/หลัง เอกสารชุดปัจจุบันที่ท่านใช้บริการ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
7. คู่มือแนะนำเอกสารช่วยให้ท่านทราบถึง ประวัติของเนื้อหาเอกสารอย่างกว้าง ๆ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
8. ชื่อเรื่องที่ปรากฏบนบัญชีสำรวจเอกสารมี ความถูกต้องตรงตามเนื้อหาของเอกสาร	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
9. หัวเรื่องในบัญชีสำรวจเอกสารแสดงความ เชื่อมโยงสัมพันธ์ของเอกสารอย่างเป็นลำดับ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
10. บัญชีสำรวจเอกสารและบัตรดัชนีจัดเรียง เป็นระบบ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
11. เอกสารจดหมายเหตุมีการจัดเรียงถูกต้อง ตามหัวเรื่องอย่างมีหลักการ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
12. เอกสารจดหมายเหตุมีหัวเรื่องครอบคลุม ทุกเนื้อหา	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		

ข้อมูลทั่วไปเกี่ยวกับผู้ตอบแบบสอบถาม เพื่อใช้ประกอบการวิเคราะห์ประเมินผล

1. ท่านใช้บริการสำนักหอจดหมายเหตุแห่งชาติมานานเป็นระยะเวลาเท่าใด?

- ☐ ต่ำกว่า 1 ปี ☐ 1 – 5 ปี ☐ 6 – 10 ปี
☐ 11 – 15 ปี ☐ มากกว่า 15 ปี

2. ท่านใช้บริการสำนักหอจดหมายเหตุแห่งชาติบ่อยเท่าใด?

- ☐ มากกว่าสัปดาห์ละครั้ง ☐ สัปดาห์ละครั้ง
☐ เดือนละครั้ง ☐ ปีละครั้ง
☐ อื่นๆ (โปรดระบุ) _____

3. ข้อใดคือเหตุผลที่ท่านใช้บริการสำนักหอจดหมายเหตุแห่งชาติ (สามารถตอบได้มากกว่า 1 ตัวเลือก)

- | | |
|--------------------------|--|
| <input type="checkbox"/> | เพื่อค้นหาว่ามีข้อมูลหรือเอกสารใดที่เกี่ยวข้องกับตัวท่านหรือไม่ |
| <input type="checkbox"/> | เพื่อค้นหาว่าข้อมูลเกี่ยวกับครอบครัวหรือประวัติตระกูลของท่าน |
| <input type="checkbox"/> | เพื่อค้นหาว่าข้อมูลเกี่ยวกับเรื่องราวของท้องถิ่นตนเอง |
| <input type="checkbox"/> | เพื่อค้นหาว่าข้อมูลเกี่ยวกับประวัติศาสตร์หรือเรื่องที่น่าสนใจเป็นการส่วนตัวในยามว่าง |
| <input type="checkbox"/> | เพื่อค้นหาข้อมูลสำหรับการศึกษาหรือทำวิจัย |
| <input type="checkbox"/> | เพื่อบริจาคหรือฝากเก็บเอกสารที่สำนักหอจดหมายเหตุแห่งชาติ |

<input type="checkbox"/>	ท่านไม่ต้องการใช้บริการหรือจดหมายเหตุไม่ว่ากรณีใดก็ตาม
<input type="checkbox"/>	อื่นๆ (โปรดระบุ)

4. ข้อใดที่อาจเป็นการเชิญชวนให้ท่านใช้บริการสำนักหอจดหมายเหตุแห่งชาติต่อไป (สามารถตอบได้มากกว่า 1 ตัวเลือก)

<input type="checkbox"/>	ถ้าเอกสารจดหมายเหตุสามารถเข้าถึงและสืบค้นได้ทางอินเทอร์เน็ต
<input type="checkbox"/>	ถ้าหอจดหมายเหตุตั้งอยู่ใกล้สถานที่ทำงานหรือสถานที่พักอาศัยของท่าน
<input type="checkbox"/>	ถ้าหอจดหมายเหตุมีสิ่งอำนวยความสะดวกสำหรับผู้มีความบกพร่องทางร่างกาย
<input type="checkbox"/>	ถ้าท่านสามารถดูตัวอย่างของเอกสารจดหมายเหตุที่จัดเก็บอยู่ในสำนักหอจดหมายเหตุได้ทางเว็บไซต์
<input type="checkbox"/>	ถ้าสำนักหอจดหมายเหตุมีเอกสารจดหมายเหตุชุดใหม่ออกให้บริการเพิ่มขึ้น
<input type="checkbox"/>	ถ้าหอจดหมายเหตุมีบริการจัดส่งสำเนาทางไปรษณีย์
<input type="checkbox"/>	อื่นๆ (โปรดระบุ)

5. นอกเหนือจากสำนักหอจดหมายเหตุแห่งชาติท่านเคยใช้บริการของหอจดหมายเหตุอื่นหรือไม่ (สามารถตอบได้มากกว่า 1 ตัวเลือก)

<input type="checkbox"/>	ท่านไม่เคยใช้บริการหอจดหมายเหตุอื่น
<input type="checkbox"/>	ท่านเคยใช้บริการหอจดหมายเหตุท้องถิ่น
<input type="checkbox"/>	ท่านเคยใช้บริการหอจดหมายเหตุมหาวิทยาลัย
<input type="checkbox"/>	ท่านเคยใช้บริการหอจดหมายเหตุพาณิชย์หรือหอจดหมายเหตุขององค์กรด้านธุรกิจ
<input type="checkbox"/>	ท่านเคยใช้หอจดหมายเหตุอื่นนอกเหนือจากที่กล่าวมาข้างต้น (โปรดระบุ)

6. เพศของท่าน

☐ ชาย ☐ หญิง

7. สถานภาพของท่าน

☐ นักเรียน นักศึกษา ☐ ครู อาจารย์ ☐ นักวิจัย

☐ นักวิชาการ ☐ อื่นๆ (โปรดระบุ) _____

8. ช่วงอายุของผู้ตอบแบบสอบถาม

☐ ต่ำกว่า 18 ปี ☐ 18 – 24 ปี

☐ 25 – 34 ปี ☐ 35 – 44 ปี

☐ 45 – 54 ปี ☐ 55 – 64 ปี

☐ มากกว่า 64 ปี

9. ระดับการศึกษา

<input type="checkbox"/>	มัธยมศึกษาตอนปลาย	
<input type="checkbox"/>	ปวช. (ประกาศนียบัตรวิชาชีพ)	
<input type="checkbox"/>	ปวส. (ประกาศนียบัตรวิชาชีพชั้นสูง)	
<input type="checkbox"/>	ปวท. (ประกาศนียบัตรวิชาชีพเทคนิค)	
<input type="checkbox"/>	ปริญญาตรี	
<input type="checkbox"/>	ปริญญาโท	
<input type="checkbox"/>	ปริญญาเอก	

ขอขอบคุณสำหรับความร่วมมือของท่าน

หากท่านมีข้อสงสัยหรือต้องการแสดงความคิดเห็นเพิ่มเติม โปรดติดต่อ

p.seelakate.11@ucl.ac.uk

The questionnaire ‘Opinion of user towards the National Archives of Thailand and its branches’

The questionnaire aims to explore the current condition and levels of efficiency in archival operation at the National Archives of Thailand through user's opinion. As a user, I would greatly appreciate a few minutes of your time to respond to the questionnaire. It should take 5 – 10 minutes to complete. Your participation is very much appreciated and it will help to develop records and archives management in the future. I thank you for your contribution to this important research.

First, I would like to ask you 7 short questions about the profile of the National Archives of Thailand. For each following question, please choose the answer that comes closest to the way you think. Thank you for your co-operation.

Statement about profile of the NAT	Strongly agree	Agree	Disagree	Strongly disagree	NA/D or not know	Note
1. The archive preserves authentic primary evidence of the past.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
2. The archive is a treasure house of knowledge since it explains the history of the nation through documents, photographs, moving images, and sound recordings.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
3. The archive strengthens community's identity and development by giving a wider understanding of different cultures and contribution of these cultures to the past and present.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
4. The archive enables us to gain identity by giving the proof of status and connecting us with a wider cultural context.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
5. The archive promotes lifelong learning and educational accomplishment.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
6. The archive contributes to preserving our culture by providing a framework for understanding the past.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
7. The archive promotes democracy by preserving primary evidence used for investigating for transparency in governance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		

Next, please answer all questions in such a way as to reflect most accurate current condition of archival operation you experienced. Most questions will require you to tick your selected response.

Statement about general overview	Strongly agree	Agree	Disagree	Strongly disagree	NA/Do not know	Note
1. You think that archives you used are valuable and deserved to be preserved at the National Archives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
2. The administration and management under the National Archives are well implemented.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
3. The process of service is well established: reader registration, ordering and returning documents, obtaining duplications.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
4. You must register, have a reader card, and deposit your belonging before going to the reading room.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
5. There are policy and rule in order that user is careful when using/reading archives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
6. Some information is disclosed under Data Protection law.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
7. The image and reputation of the National Archives are acceptable in user' eyes.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
8. The relationship between the National Archives and users is supportive.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		

The accommodation and facilities	Strongly agree	Agree	Disagree	Strongly disagree	N/A/Do not know	Note
1. The locker and reference service are placed in easily accessible area.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
2. The reading room, including microfilm reading room and temporary repository, is wide and well arranged.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
3. The reading room is suitable for reading/using original archives/duplications (e.g. clean, temperature controlled)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
4. The reading room, including microfilm reading room, has appropriate noise levels and study environment.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
5. AV players, microfilm readers, and computers are adequately equipped.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
6. AV players, microfilm readers, and computers are effective and useful.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
7. The number of seats in reading room is adequate.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
8. The materials for keeping the archives such as file, folder, box, are suitable according to types of archives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
9. The fire extinguisher is installed in easily noticeable and accessible area.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
10. There is staff responsible for security in active service during opening hours.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
11. The NAT is conveniently located and accessible to users.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		

The archive service of the NAT	Strongly agree	Agree	Disagree	Strongly disagree	N/A or do not know	Note
1. Staff is knowledgeable and has experience in this service.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
2. There is enough staff to serve.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
3. Staff serves users equally.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
4. Service processes and policy are clearly explained to you.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
5. Staff introduces you about how to search and use the archives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
6. The staff can answer your question and give suggestion correctly.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
7. The staff checks the quality and condition of the archives/duplications before and after use.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
8. There are services delivered to user as stated in the policy.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
9. If the archives have been using by other user, the staff can advise you to use other similar archives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
10. You are able to find specific records and items of interest in the archive.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
11. The right in access, policy and rule for using the archives is appropriate.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
12. You always deposit your belonging before going to reading room.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
13. You found the archives is damaged or in bad condition before use.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
14. You receive the archives or the duplication you request on time.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
15. The duplication you request is clear, complete, and correct.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
16. You are not allowed to bring archives out of the reading room.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
17. There is enquiry service via telephone, post, and email.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		

The resources at the NAT	Strongly agree	Agree	Disagree	Strongly disagree	NA/Do not know	Note
1. New collections of archives are continuously provided for user.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
2. New duplicates of microfilm are continuously produced for user.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
3. Reference books and publications are provided adequately and up to date.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
4. List guides, abstracts, manual guides, and indices are provided as finding aids.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
5. Details in finding aids are complete and correct.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
6. Users are able to navigate to higher/lower levels of description.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
7. List guides are helpful for exploring content of archives extensively.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
8. Titles appeared in list guide are precise to content of archives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
9. Subject headings/keywords in list guide are capable to show relation of the archives hierarchically.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
10. Finding aids are systematically arranged on shelves.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
11. A collection of archives are logically grouped and appropriately arranged by subject headings.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
12. Archive has subject headings/keywords that cover its content.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		

Finally, I would like to ask a few questions about you to help interpreting the results.

1. How long have you been using/visiting the National Archives of Thailand?

☐ Less than 1 year ☐ 1 – 5 year(s) ☐ 6 – 10 years

☐ 11 – 15 years ☐ More than 15 year(s)

2. How often do you use/visit the National Archives of Thailand?

☐ more than once a week ☐ once a week

☐ once a month ☐ once a year

☐ other (please specify) _____

3. Which of the following reason for you to go to an archive for ?

(please select more than one answer when applicable)

- | | |
|--------------------------|---|
| <input type="checkbox"/> | to find out if there is anything in there about me |
| <input type="checkbox"/> | to find out about family history |
| <input type="checkbox"/> | to find out about history of local area/town/village |
| <input type="checkbox"/> | to find out about history for leisure/personal interest |
| <input type="checkbox"/> | to research a topic for publication/qualification |
| <input type="checkbox"/> | to give or deposit something to an archive |
| <input type="checkbox"/> | other (please specify) _____ |

4. Which of the suggestions would be most likely to encourage you to keep using/visiting the National Archives of Thailand in the future?

- | | |
|--------------------------|---|
| <input type="checkbox"/> | Being able to access/find out about archival materials of the NAT on the internet |
| <input type="checkbox"/> | If archives were available at a place near you |
| <input type="checkbox"/> | Being able to see examples of the archival materials the NAT holds |
| <input type="checkbox"/> | If there are more new collections of archives provided |
| <input type="checkbox"/> | If there were facilities available for disabled |
| <input type="checkbox"/> | if there is delivery services by post for reproduction |
| <input type="checkbox"/> | Other (please specify) _____ |

5. Apart from the National Archives of Thailand, have you ever used/visited other archives?

- | | |
|--------------------------|--|
| <input type="checkbox"/> | No, I have never used/visited other archives. |
| <input type="checkbox"/> | Yes, I have used/visited local archives. |
| <input type="checkbox"/> | Yes, I have used/visited university archives. |
| <input type="checkbox"/> | Yes, I have used/visited business archives. |
| <input type="checkbox"/> | Yes, I have used/visited other archives (please specify) _____ |

6 What is your gender?

☐ male ☐ female

7. What is your status?

☐ students

☐ teachers, lecturers

☐ researchers

☐ academics

☐ other (please specify) _____

8. What is your age?

☐ Under 18

☐ 18 – 24 years

☐ 25 – 34 years

☐ 35 – 44 years

☐ 45 – 54 years

☐ 55 – 64 years

☐ More than 64 years

9. What is the highest level of education that you have completed? (*Please tick one box only*)

Level of Education

<input type="checkbox"/>	Senior High School
<input type="checkbox"/>	Vocational Certificate
<input type="checkbox"/>	High Vocational Certificate
<input type="checkbox"/>	Technical Certificate
<input type="checkbox"/>	Bachelor Degree
<input type="checkbox"/>	Master Degree
<input type="checkbox"/>	Doctor of Philosophy

Field of study

**Thank you very much for your time and your participation. Please do not hesitate to contact me if you have any further questions:
p.seelakate.11@ucl.ac.uk**

Appendix 4

Thai/English translation of non-user questionnaire

This is the questionnaire of “opinion of non-user towards the NAT and its branches” distributed online during 15 July 2014 - 16 October 2014. The questionnaire was administered in Thai. Translations from Thai into English were done by the author, Pimphot Seelakate.

แบบสอบถามความคิดเห็นของผู้ไม่เคยใช้บริการสำนักหอจดหมายเหตุแห่งชาติ

แบบสอบถามชุดนี้มีจุดประสงค์ในการเก็บข้อมูลความคิดเห็นของบุคคลในเรื่องเกี่ยวกับสำนักหอจดหมายเหตุแห่งชาติ

ขอความกรุณาให้ท่านช่วยใช้เวลาในการตอบแบบสอบถาม 1 - 3 นาทีโดยความร่วมมือของท่านจะเป็นส่วนหนึ่งในการร่วมผลักดันการพัฒนาการศึกษาและการปฏิบัติงานด้านการจัดการเอกสารและจดหมายเหตุของประเทศในอนาคต

1. ข้อใดคือเหตุผลที่ท่านไม่ใช้บริการของสำนักหอจดหมายเหตุแห่งชาติ? (สามารถตอบได้มากกว่า 1 ตัวเลือก)

<input type="checkbox"/>	ท่านไม่ทราบว่าหอจดหมายเหตุคืออะไร
<input type="checkbox"/>	ท่านไม่มีความสนใจเรื่องจดหมายเหตุหรือหอจดหมายเหตุ
<input type="checkbox"/>	ท่านไม่มีเวลาไปใช้บริการที่หอจดหมายเหตุ
<input type="checkbox"/>	ท่านไม่ทราบว่าหอจดหมายเหตุมีข้อมูลเกี่ยวกับอะไรบ้าง
<input type="checkbox"/>	ท่านไม่ทราบว่าหอจดหมายเหตุอยู่ที่ใด
<input type="checkbox"/>	จดหมายเหตุไม่มีความเกี่ยวข้องกับท่าน
<input type="checkbox"/>	หอจดหมายเหตุปิดในเวลาที่ท่านต้องการใช้บริการ
<input type="checkbox"/>	อื่นๆ (โปรดระบุ)

2. นอกเหนือจากสำนักหอจดหมายเหตุแห่งชาติ ท่านเคยใช้บริการของหอจดหมายเหตุอื่นหรือไม่? (สามารถตอบได้มากกว่า 1 ตัวเลือก)?

<input type="checkbox"/>	ท่านไม่เคยใช้บริการหอจดหมายเหตุอื่น
<input type="checkbox"/>	ท่านเคยใช้บริการหอจดหมายเหตุท้องถิ่น
<input type="checkbox"/>	ท่านเคยใช้บริการหอจดหมายเหตุมหาวิทยาลัย
<input type="checkbox"/>	ท่านเคยใช้บริการหอจดหมายเหตุพาณิชย์หรือหอจดหมายเหตุขององค์กรด้านธุรกิจ
<input type="checkbox"/>	ท่านเคยใช้หอจดหมายเหตุอื่นนอกเหนือจากที่กล่าวมาข้างต้น (โปรดระบุ)

3. ข้อใดที่จะสามารถเชิญชวนให้ท่านใช้บริการสำนักหอจดหมายเหตุแห่งชาติได้ในอนาคต? (สามารถตอบได้มากกว่า 1 ตัวเลือก)

<input type="checkbox"/>	ถ้าเอกสารจดหมายเหตุสามารถเข้าถึงและสืบค้นได้ทางอินเทอร์เน็ต
<input type="checkbox"/>	ถ้าท่านสามารถดูตัวอย่างของเอกสารจดหมายเหตุที่จัดเก็บอยู่ในสำนักหอจดหมายเหตุได้ทางเว็บไซต์
<input type="checkbox"/>	ถ้าหอจดหมายเหตุตั้งอยู่ใกล้สถานที่ทำงานหรือสถานที่พักอาศัยของท่าน

	ถ้าหอจดหมายเหตุมีสิ่งอำนวยความสะดวกสำหรับผู้ที่มีความบกพร่องทางร่างกาย
	ถ้ามีข้อมูลเผยแพร่ว่าหอจดหมายเหตุมีอะไรและสามารถค้นหาข้อมูลที่ท่านสนใจได้จากแหล่งไหน
	ถ้าท่านได้รับหนังสือแนะนำหรือคำแนะนำจากผู้ที่เคยใช้บริการมาก่อน
	ถ้าเจ้าหน้าที่จากสำนักหอจดหมายเหตุแห่งชาติลงพื้นที่เพื่อแนะนำให้มีการใช้หอจดหมายเหตุในชุมชนที่ท่านอยู่อาศัย
	ท่านไม่ต้องการใช้บริการหอจดหมายเหตุไม่ว่ากรณีใดก็ตาม
	อื่นๆ (โปรดระบุ)

4. ในอนาคตหากว่าท่านมีโอกาสใช้บริการสำนักหอจดหมายเหตุแห่งชาตินั้น ท่านคิดว่าข้อใดคือเหตุผลที่ท่านสนใจและต้องการไปใช้บริการ? (สามารถตอบได้มากกว่า 1 ตัวเลือก)

	เพื่อค้นหาว่ามีข้อมูลหรือเอกสารใดที่เกี่ยวข้องกับตัวท่านหรือไม่
	เพื่อค้นคว้าข้อมูลเกี่ยวกับครอบครัวหรือประวัติตระกูลของท่าน
	เพื่อค้นคว้าข้อมูลเกี่ยวกับเรื่องราวของท้องถิ่นตนเอง
	เพื่อค้นคว้าข้อมูลเกี่ยวกับประวัติศาสตร์หรือเรื่องที่น่าสนใจเป็นการส่วนตัวในยามว่าง
	เพื่อค้นหาข้อมูลสำหรับการศึกษาหรือทำวิจัย
	เพื่อบริจาคหรือฝากเก็บเอกสารที่สำนักหอจดหมายเหตุแห่งชาติ
	ท่านไม่ต้องการใช้บริการหอจดหมายเหตุไม่ว่ากรณีใดก็ตาม
	อื่นๆ (โปรดระบุ)

บทบาทของสำนักหอจดหมายเหตุแห่งชาติ

ส่วนที่ 2 ความคิดเห็นของบุคคลทั่วไปเกี่ยวกับบทบาทของสำนักหอจดหมายเหตุแห่งชาติในปัจจุบัน เพื่อสะท้อนว่าสำนักหอจดหมายเหตุแห่งชาติทำหน้าที่ได้ดีมากน้อยเพียงใดในการสร้างความเข้าใจให้กับคนในสังคมเกี่ยวกับบทบาทของหอจดหมายเหตุต่อการพัฒนาประเทศ กรุณาเลือกตอบว่าท่านเห็นด้วยหรือไม่กับข้อความดังต่อไปนี้

	ไม่เห็นด้วยอย่างยิ่ง	ไม่เห็นด้วย	เห็นด้วย	เห็นด้วยอย่างยิ่ง	ไม่มีความเห็น	Note
1. หอจดหมายเหตุคือสถานที่เก็บรักษาหลักฐานชั้นต้นเกี่ยวกับเรื่องราวในอดีต	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
2. หอจดหมายเหตุคือแหล่งรวบรวมความรู้ เพราะมีเอกสาร ภาพถ่าย ภาพเคลื่อนไหวและบันทึกเสียงซึ่งให้ข้อมูลด้านต่าง ๆ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
3. หอจดหมายเหตุช่วยส่งเสริมอัตลักษณ์และช่วยพัฒนาชุมชน โดยทำให้คนเข้าใจความแตกต่างของแต่ละวัฒนธรรมและรับรู้สิ่งที่วัฒนธรรมต่าง ๆ เหลือทิ้งไว้เป็นมรดกตั้งแต่อดีตจนถึงปัจจุบัน	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
4. หอจดหมายเหตุสนับสนุนความมีชีวิตของเราเพราะเป็นที่เก็บเอกสารยืนยันสิทธิและสถานภาพ รวมทั้งเชื่อมโยงตัวเราเข้ากับบริบททางสังคมที่กว้างขึ้น	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
5. หอจดหมายเหตุสนับสนุนการศึกษาและส่งเสริมการเรียนรู้ตลอดชีวิต	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
6. หอจดหมายเหตุส่งเสริมการปกครองในระบอบประชาธิปไตย โดยทำหน้าที่จัดเก็บเอกสารซึ่งเป็นหลักฐานใช้ในการตรวจสอบการทำงานของรัฐบาล ถือเป็นการสนับสนุนให้ฝ่ายบริหารทำงานอย่างสุจริตโปร่งใส	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
7. หอจดหมายเหตุช่วยอนุรักษ์วัฒนธรรมโดยให้ข้อมูลในภาพรวมเพื่อสร้างความเข้าใจเกี่ยวกับเรื่องราวในอดีต	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		

ข้อมูลทั่วไปเกี่ยวกับผู้ตอบแบบสอบถาม

ส่วนสุดท้ายนี้เป็นข้อมูลทั่วไปเป็นการขอทราบข้อมูลทั่วไปเกี่ยวกับผู้ตอบแบบสอบถามเพื่อใช้ประกอบการวิเคราะห์ประเมินผล

1. เพศของท่าน

☐ ชาย ☐ หญิง

2. ช่วงอายุของท่าน?

- ☐ ต่ำกว่า 18 ปี
☐ 18 – 24 ปี
☐ 25 – 34 ปี
☐ 35 – 44 ปี
☐ 45 – 54 ปี
☐ 55 – 64 ปี
☐ มากกว่า 64 ปี

3. ระดับการศึกษาสูงสุดที่ท่านสำเร็จการศึกษา?

ระดับการศึกษา

<input type="checkbox"/>	มัธยมศึกษาตอนปลาย
<input type="checkbox"/>	ปวช. (ประกาศนียบัตรวิชาชีพ)
<input type="checkbox"/>	ปวส. (ประกาศนียบัตรวิชาชีพชั้นสูง)
<input type="checkbox"/>	ปวท. (ประกาศนียบัตรวิชาชีพเทคนิค)
<input type="checkbox"/>	ปริญญาตรี
<input type="checkbox"/>	ปริญญาโท
<input type="checkbox"/>	ปริญญาเอก
<input type="checkbox"/>	ขอสงวนสิทธิ์ในการตอบคำถามข้อนี้

ขอบพระคุณสำหรับความร่วมมือของท่าน

หากท่านมีข้อสงสัยหรือต้องการแสดงความคิดเห็นเพิ่มเติม โปรดติดต่อ

p.seelakate.11@ucl.ac.uk

The questionnaire 'Opinion of non-user towards the National Archives of Thailand and its branches'

The questionnaire aims to explore the current role of the National Archives of Thailand in the perception of non-user as a part of a reflection of quality assessment in archival practices of the professionals.

As non-user, I would greatly appreciate a few minutes of your time to respond to the questionnaire. It should take 1 – 3 minutes to complete. Your participation is very much appreciated and it will help to develop records and archives management in the future. I thank you for your contribution to this important research.

Please answer all questions in such a way as to reflect most accurate to your thought. Most questions will require you to tick your selected response. Also, you can select more than one answer if applicable.

1. What reasons have you not used/visited archives?

- | | |
|--------------------------|---|
| <input type="checkbox"/> | Archives are not relevant to me. |
| <input type="checkbox"/> | I do not have time. |
| <input type="checkbox"/> | I am not interested in archives. |
| <input type="checkbox"/> | I do not know where they are/how to find them. |
| <input type="checkbox"/> | I do not know what an archive is. |
| <input type="checkbox"/> | I do not know what information they have. |
| <input type="checkbox"/> | Archives are not opened when I want them to be. |
| <input type="checkbox"/> | Other (please specify) |

2. Which of the following things do you think you might want to go to an archive for?

- | | |
|--------------------------|---|
| <input type="checkbox"/> | To find out if there is anything in there about me |
| <input type="checkbox"/> | To find out about family history |
| <input type="checkbox"/> | To find out about history of local area/town/village |
| <input type="checkbox"/> | To find out about history for leisure/personal interest |
| <input type="checkbox"/> | To research a topic for publication/qualification |
| <input type="checkbox"/> | To give or deposit something to an archive |
| <input type="checkbox"/> | Other (please specify) |
| <input type="checkbox"/> | Nothing, I would not use/go to an archive. |

3. Which of the suggestions would be most likely to encourage you to make use of archives in the future?

- | | |
|--------------------------|---|
| <input type="checkbox"/> | Being able to access/find out about NAT archival materials on the internet |
| <input type="checkbox"/> | Being able to see examples of the archival materials the NAT holds |
| <input type="checkbox"/> | If archives were available at a place near you |
| <input type="checkbox"/> | If there were facilities available for disabled |
| <input type="checkbox"/> | Making information available about what the NAT is and where to start looking |

<input type="checkbox"/>	Guidance/advice about using archives from an experienced user
<input type="checkbox"/>	Staff from the NAT promotes the archival services in your community/area
<input type="checkbox"/>	None, I will not use/visit archives.
<input type="checkbox"/>	Other (please specify)_____

4. Apart from the NAT, have you ever used/visited other archives?

<input type="checkbox"/>	No, I have never used/visited other archives.
<input type="checkbox"/>	Yes, I have used/visited local archives.
<input type="checkbox"/>	Yes, I have used/visited university archives.
<input type="checkbox"/>	Yes, I have used/visited business archives.
<input type="checkbox"/>	Yes, I have used/visited other archives (please specify)_____

Next, I would like to ask you 7 short questions about the profile of the National Archives of Thailand. For each following question, please choose the answer that comes closest to the way you think. Also, you can write down a detail in note if applicable. The answers will be treated with confidentiality and anonymity. Thank you for your co-operation.

Statement about profile of the NAT	Strongly agree	Agree	Disagree	Strongly disagree	NA/Do not know	Note
1. The archive preserves authentic primary evidence of the past.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
2. The archive is a treasure house of knowledge since it explains the history of the nation through documents, photographs, moving images, and sound recordings.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
3. The archive enables us to gain identity by giving the proof of status and connecting us with a wider cultural context.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
4. The archive strengthens community's identity and development by giving a wider understanding of different cultures and contribution of these cultures to the past and present.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
5. The archive promotes lifelong learning and educational accomplishment.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
6. The archive promotes democracy by preserving primary evidence used for investigating for transparency in governance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		
7. The archive contributes to preserving our culture by providing a framework for understanding the past.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>		

Finally, I would like to ask a few questions about you to help interpreting the results.

1. What is your gender?

☐ male ☐ female

2. What is your age?

☐ Under 18 ☐ 18 – 24 years ☐ 25 – 34 years
☐ 35 – 44 years ☐ 45 – 54 years ☐ 55 – 64 years
☐ More than 64 years

3. What is the highest level of education that you have completed?

(Please tick one box only)

Level of Education

<input type="checkbox"/>	Senior High School
<input type="checkbox"/>	Vocational Certificate
<input type="checkbox"/>	High Vocational Certificate
<input type="checkbox"/>	Technical Certificate
<input type="checkbox"/>	Bachelor Degree
<input type="checkbox"/>	Master Degree
<input type="checkbox"/>	Doctor of Philosophy

**Thank you very much for your time and your participation. If you have any further questions about this topic or more information, please contact
p.seelakate.11@ucl.ac.uk**

Appendix 5

Thai – English version of the official letter to the Director of the NAT

The letter was administered in Thai. Translations from Thai into English were done by the author, Pimphot Seelakate.

มีนาคม ๒๕๕๗

เรื่อง ขอความอนุเคราะห์สัมภาษณ์และตรวจสอบข้อมูลเพื่อการวิจัย

เรียน ผู้อำนวยการสำนักหอจดหมายเหตุแห่งชาติ

สิ่งที่ส่งมาด้วย ๑. รายละเอียดแนวทางการสัมภาษณ์
๒. รายการเอกสารที่ต้องการตรวจสอบเป็นข้อมูลพื้นฐาน

ข้าพเจ้า นางสาวพิมพ์พจน์ สีลาเขต นักศึกษารับทุนสำนักงานคณะกรรมการการอุดมศึกษา (สกอ.) กำลังศึกษาระดับปริญญาเอกในสาขาการจัดการเอกสารและจดหมายเหตุ ณ มหาวิทยาลัย University College London (UCL) กรุงลอนดอน ประเทศอังกฤษ ได้รับอนุมัติให้ทำหัวข้องานวิจัย เรื่อง มาตรฐานการปฏิบัติงานด้านจดหมายเหตุในประเทศไทย โดยจุดประสงค์ของงานวิจัยในครั้งนี้คือ การมุ่งพัฒนาคุณภาพของมาตรฐานด้านการจัดการเอกสารและจดหมายเหตุในระดับประเทศ

เนื่องจากการศึกษาวิจัยนี้จำเป็นต้องเก็บข้อมูลใน ๒ ประเด็นหลัก คือ

๑. การใช้และการไม่ใช้มาตรฐานในการปฏิบัติงานด้านการจัดการเอกสารและจดหมายเหตุ (ซึ่งจำเป็นต้องเก็บข้อมูลด้วยการสัมภาษณ์บุคลากรประกอบด้วย)
๒. การจัดทำมาตรฐานด้านการปฏิบัติงานของนักจดหมายเหตุ (ซึ่งต้องใช้ข้อมูลเอกสารประกอบ)

ในการทำเอกสารวิจัยข้างต้นนี้ ข้าพเจ้าพิจารณาว่าผลของการวิจัยสามารถนำมาใช้เป็นข้อมูลพื้นฐานอันอาจมีประโยชน์ต่อการปฏิบัติงานราชการด้านเอกสารและจดหมายเหตุซึ่งหวังว่าจะช่วยพัฒนาหรืออาจมีแนวทางที่เป็นเรื่องแตกต่างออกไป อย่างไรก็ตามข้าพเจ้าจำเป็นต้องขอความกรุณาจากท่านในการอนุญาตให้มีการเก็บข้อมูลโดยการสัมภาษณ์บุคลากรที่เกี่ยวข้อง (โดยมีรายละเอียดแนวทางสัมภาษณ์ตามสิ่งที่ส่งมาด้วย ๑) พร้อมกันนี้จำเป็นต้องมีการสำเนาเอกสารเพื่อเป็นข้อมูลประกอบ (โดยมีรายละเอียดตามสิ่งที่ส่งมาด้วย ๒)

ทั้งนี้ข้าพเจ้าจะเดินทางกลับถึงประเทศไทยเพื่อเก็บข้อมูล ระหว่างวันที่ ๑ เมษายน – ๒๓ พฤษภาคม ๒๕๕๗ หากท่านพิจารณาอนุญาตขอได้กรุณากำหนดวัน / เวลา / สถานที่ เพื่อทำการสัมภาษณ์การเก็บข้อมูลหรือค่าใช้จ่ายในการขอสำเนาเอกสารประกอบ โดยกำหนดตามที่ท่านพิจารณาเหมาะสมและโปรดแจ้งรายละเอียดตามที่อยู่ทางไปรษณีย์ หรือไปรษณีย์อิเล็กทรอนิกส์ที่แจ้งไว้ข้างบน หนังสือฉบับนี้ จักเป็นความกรุณาอย่างยิ่ง

จึงเรียนมาเพื่อโปรดพิจารณา และหวังเป็นอย่างยิ่งว่าจะได้รับความกรุณาจากท่าน

รายละเอียดแนวทางการสัมภาษณ์

๑. จุดประสงค์ของงานวิจัย

- ๑.๑ เพื่อรับทราบผลการใช้มาตรฐานในการปฏิบัติงานด้านการจัดการเอกสารและจดหมายเหตุ
- ๑.๒ เพื่อค้นหาทัศนคติและความคิดเห็นของบุคลากรที่ทำงานในวิชาชีพด้านเอกสารและจดหมายเหตุเกี่ยวกับการควบคุมคุณภาพและการใช้มาตรฐาน
- ๑.๓ ขอความกรุณาให้ท่านคัดเลือกบุคลากรจากหน่วยงานภายในสำนักหอจดหมายเหตุแห่งชาติเพื่อการสัมภาษณ์จำนวนทั้งสิ้น ๑๖ ท่าน โดยจะขอสัมภาษณ์วันละ ๑ หน่วยงาน (รวมทั้งสิ้น ๖ วัน) และสัมภาษณ์ท่านละ ๑ ชั่วโมง จากหน่วยงานต่าง ๆ ได้แก่

หน่วยงาน	จำนวน(คน)
ฝ่ายบริหารงานทั่วไป	๒
กลุ่มบริหารเอกสาร	๓
กลุ่มเอกสารจดหมายเหตุและบริการ	๓
กลุ่มอนุรักษ์เอกสาร	๓
กลุ่มบันทึกเหตุการณ์	๒
หอจดหมายเหตุแห่งชาติเฉลิมพระเกียรติพระบาทสมเด็จพระเจ้าอยู่หัวภูมิพลอดุลยเดช	๓
จำนวนรวม	๑๖

๒. คุณลักษณะของบุคลากรที่ต้องการสัมภาษณ์

- ๒.๑ เป็นบุคลากรในสำนักหอจดหมายเหตุแห่งชาติที่ปฏิบัติงานเกี่ยวข้องกับเอกสารจดหมายเหตุ หรือ
- ๒.๒ เป็นผู้ที่มีประสบการณ์ในการทำงานในกลุ่มงานนั้นและมีความรู้เรื่องกฎระเบียบ ข้อบังคับ หรือแบบธรรมเนียมในการปฏิบัติงานของกลุ่มงานตนเอง
- ๒.๓ เป็นผู้ที่ยินดีจะแลกเปลี่ยนความคิดเห็นและแสดงความคิดเห็นส่วนบุคคลในฐานะบุคลากรในวิชาชีพด้านเอกสารและจดหมายเหตุเพื่อพัฒนางานด้านการจัดการเอกสารและจดหมายเหตุในอนาคต

๓. ขอบเขตคำถามในการสัมภาษณ์

- ๓.๑ ลักษณะของการควบคุมคุณภาพด้านการปฏิบัติงานในหน่วยงาน
- ๓.๒ ประสิทธิภาพของการใช้หรือไม่ใช้มาตรฐานในการปฏิบัติงานภายในหน่วยงาน
- ๓.๓ บทบาทหรือการมีส่วนร่วมต่อการสร้างมาตรฐานในการปฏิบัติงานด้านเอกสารและจดหมายเหตุ
- ๓.๔ ความคิดเห็นต่อการบังคับใช้มาตรฐานในหน่วยงานด้านจดหมายเหตุ
- ๓.๕ ข้อเสนอแนะและความคิดเห็นเกี่ยวกับการใช้มาตรฐานในงานด้านเอกสารและจดหมายเหตุในอนาคต

รายการเอกสารที่ต้องการตรวจสอบเป็นข้อมูลพื้นฐานและจัดทำสำเนา

๑. สถิติการใช้สำนักหอจดหมายเหตุแห่งชาติและหอจดหมายเหตุแห่งชาติสาขาตั้งแต่ปี ๒๕๔๖ – ปัจจุบัน
๒. สถิติจำนวนเอกสารจดหมายเหตุที่หน่วยงานของรัฐส่งมอบหรือบริจาคเอกสารในแต่ละปีให้กับสำนักหอจดหมายเหตุแห่งชาติและหอจดหมายเหตุแห่งชาติสาขาตั้งแต่ปี ๒๕๔๖ – ปัจจุบัน
๓. รายชื่อบุคคลและหน่วยงานที่ส่งมอบหรือบริจาคเอกสารในแต่ละปีให้กับสำนักหอจดหมายเหตุแห่งชาติและหอจดหมายเหตุแห่งชาติสาขาตั้งแต่ปี ๒๕๔๖ – ปัจจุบัน
๔. จำนวนบุคลากรที่ปฏิบัติงานด้านจดหมายเหตุทั้งหมดของสำนักหอจดหมายเหตุแห่งชาติและหอจดหมายเหตุแห่งชาติสาขาตั้งแต่ปี ๒๕๔๖ – ปัจจุบัน
๕. ผลการประเมินการปฏิบัติงานของสำนักหอจดหมายเหตุแห่งชาติตั้งแต่ปี ๒๕๔๖ – ปัจจุบัน
๕. เอกสารที่ให้รายละเอียดเกี่ยวกับขั้นตอนการจัดทำมาตรฐานงานด้านจดหมายเหตุ ทั้งที่เป็น
 - ๕.๑ มาตรฐานการปฏิบัติงานจดหมายเหตุ (หน้า ๑๐๑ ในหนังสือวิชาการพื้นฐานการบริหารและจัดการงานจดหมายเหตุ จัดพิมพ์โดยกรมศิลปากร ๒๕๔๒)
 - ๕.๒ มาตรฐานการจัดเก็บเอกสารจดหมายเหตุของสำนักจดหมายเหตุแห่งชาติ (จัดพิมพ์โดยกรมศิลปากร ๒๕๕๕)

Summary in English of official letter to the Director of the NAT

Aims of semi-structured interview

- 1) To gain information from participants related to opinions on an issue about standards, standardisation, and quality control in professional performance
- 2) To find out about participants' experience on using/not using standard in archival practices and uncover issue behind standard adoption

List of standard questions

- 1) The method of quality control of archival operation in your workplace.
- 2) Your opinion on effectiveness of using/not using standard in your workplace.
- 3) Your role or your participation on standard's creation, standard adoption, and standardisation.
- 4) Your point of view on compulsory and voluntary standards in archival performance at national level.
- 5) Your comment or suggestion on standard implementation and standardising archival practices in the future.

Participant selection

I request the Director of the National Archives of Thailand to select the employees in each section to participate in my interview as outlined in the table below. The interview will be conducted 6 days, 1 day for 1 section and 1 hour/person.

Segmentation	Quantity(person)
Administration unit	2
Records management group	3
Archives and service group	3
Preservation group	3
Historiography group	2
National Archives in Commemoration of H.M. The King's Golden Jubilee	3
	16

Participant criteria

The specification of interviewee

- 1) He/she is an employee of the National Archives of Thailand who performs the task about records and archives.
- 2) He/she has experience in his/her job and is knowledgeable about regulations, rules, policies, and traditions of practice in his/her workplace.
- 3) He/she is willing to share and express personal thought as a professional in records and archives field in order to develop records and archives management of Thailand in the future.

Appendix 6

Thai Participant Consent Form

Translations from Thai into English were done by the author, Pimphot Seelakate.

หนังสืออนุญาตให้ทำการสัมภาษณ์
ชื่องานวิจัย มาตรฐานการปฏิบัติงานของนักจดหมายเหตุในประเทศไทย
ชื่อผู้วิจัย นางสาวพิมพ์พจน์ สีลาเขต

ข้าพเจ้านาย/นาง/นางสาว..... ได้รับทราบจุดประสงค์ของงานวิจัย ในฐานะผู้ให้สัมภาษณ์จึงยินดีที่จะให้สัมภาษณ์และเข้าร่วมการวิจัยในครั้งนี้โดย

๑. ข้าพเจ้าเข้าใจว่าในงานวิจัยจะไม่มีการกล่าวถึงชื่อและนามสกุลของข้าพเจ้า แต่จะมีการกล่าวถึงตำแหน่งและสถานที่ทำงานแทนเพื่อเป็นการรักษาความลับของข้อมูลและผู้ให้สัมภาษณ์

๒. ข้าพเจ้าเข้าใจวัตถุประสงค์ของงานวิจัยและเข้าใจความเกี่ยวข้องของข้าพเจ้าที่มีกับงานวิจัยนี้แล้ว

๓. ข้าพเจ้าเข้าใจว่าระหว่างการเก็บข้อมูลจะมีการบันทึกเทปวิดีโอการสัมภาษณ์เพื่อนำไปใช้เป็นข้อมูลพื้นฐาน

๔. ข้าพเจ้าเข้าใจว่าข้อมูลของการวิจัยอาจจะได้รับการเผยแพร่เพื่อวัตถุประสงค์ทางการศึกษาเท่านั้น

๕. ข้าพเจ้ามีสิทธิขอยุติความร่วมมือ โดยข้าพเจ้าจะทำหนังสือแจ้งเหตุผลอย่างเป็นทางการกับผู้วิจัย
ชื่อผู้ให้สัมภาษณ์.....

ตำแหน่ง..... กลุ่มงาน.....

ลายมือชื่อผู้ให้สัมภาษณ์.....

(.....)

วันที่ลงนาม.....

กรุณากรอกแบบฟอร์มให้สมบูรณ์หลังจากที่ท่านอ่านรายละเอียดครบถ้วนแล้ว

ขอขอบคุณสำหรับความร่วมมือและการสละเวลาของท่านในการให้ข้อมูล

Participant Consent Form

Research: Standards and Standardisation for Archival Practices in Thailand

Researcher: Miss Pimphot Seelakate

I (Mr/Mrs/Ms)..... have read the information concerning this research and understand its purpose and I agree to participate in research of Miss Pimphot Seelakate.

1. I am aware that individual names will not be used and I will be mentioned about the job position and the workplace and the data will be handled as confidentially as possible to preserve my anonymity.

2. I understand the purpose of this research and my contribution to the research.

3. I understand that my interview with Miss Seelakate will to be audio and video-recorded for further use in this research.

4. I understand that the data of the research may be published for educational purposes.

5. I have a right to decline to answer any questions and I am free to stop taking part in the research at any time and I will write the official letter about the reason for decline to the researcher.

Participant's name.....

Position..... Group.....

Participant's

Signature.....

..

(.....)

Date.....

Please complete the form after you carefully read it.

Thank you for your participation.

Appendix 7
British Participant Consent Form

Participant Consent Form

Research: Standards and Standardisation for Archival Practices in Thailand

Researcher: Pimphot Seelakate, a doctoral researcher in UCL: DIS

I..... agree to participate in research of Pimphot Seelakate. I have read the project information sheet and understand the purpose and the intended outcomes of this research. I am aware that

1. I am participating voluntarily.
2. I am free to ask for further information at any time.
3. I give permission for my interview with Miss Seelakate to be voice-recorded and video-recorded for further use in this research.
4. My data will be handled as confidentially as possible. I understand that disguised extracts from my interview may be quoted in the thesis and any subsequent publications. When results of this research are published or presented, individual names will not be used and I will be mentioned as
5. The results of this research may be published and available in the library but every attempt will be made to preserve my anonymity.
7. I can decline to answer any questions and I am free to stop taking part in the research at any time.

If you wish to participate in this research, please sign and date below.

Participant's Name (please print)

Participant's Signature

Date

Please complete the form after you carefully read it.

Thank you for your participation. If you have any questions about this research, please feel free to contact me at p.seelakate.11@ucl.ac.uk. You can also contact my supervisors, Professor Elizabeth Shepherd (e.shepherd@ucl.ac.uk), and Dr Andrew Flinn (a.flinn@ucl.ac.uk)

Appendix 8

Extract from English translation of sample Thai interview

Introduction

The records management group is responsible for collecting and accessioning records from public organisations and individuals from central administration and other 12 provinces in duty. Records transfer is due to Official Information Act B.E. 2540 (1997), the Regulations of the Prime Minister Office on Records Management B.E. 2526(1983) and the second and additional version B.E. 2548(2005), and Rule on Maintenance of Official Secrets B.E. 2544 (2001). The 3 regulations relate to specifying process and regulation for work which all of us as archivists have to follow the regulations.

How effective of current enforced regulations in real performance?

They are not effective because since I have been working here I know these 3 regulations have weak points. First point is no penalty. You can either follow the regulations or not hence records transfer and records acquisitions of every organisation are not following the procedure.

In your group, do staffs work effectively?

Government officials of previous class were instructed to follow the procedures e.g. registering, accessioning, storing on the shelves, etc. However, new young officials are not trained before starting work thus they rely on their experience when they learn while working and apply it later. This is another problem. The young officials do not understand their task so they work quite slowly.

Recruitment and training

No clear policy. Miss B was recruited last 6 months and she is assigned to work in this group. She learns from her routine work and we teach her but there is no training course that everyone should take before start working. This is another problem of the NAT in Bangkok. For me, I was taught by former archivist and did not take any training course.

Role / participation in standardisation

The head of the group sets up a meeting including archaeologists and archivists in the group. They can give opinion and suggest if there is a problem in work procedure and we apply it.

Opinion about implementing standards at national level

Standard for archivist in Bangkok and in region is not even. Do we lack of connection in work? Each of us works separately. The opportunity for sharing thoughts and opinions or adapting in order to work in the same direction is considerably low.

Suggestions

The executives and I may have different views. I think we should let everyone share their opinions. What problem do they face at the regional NAT so we can consult if they make the right decision?

Other problems of records and archives management at national level

There are many archives in Thailand which are autonomously established such as the archives of Bank of Thailand, which has standard and good system and we do not interfere it, or university archives who can manage themselves. The problem of the NAT is that new archivists lack of experience.

Appendix 9

Examples of Thai research on ISO 9000 series standards

Examples of Thai researches on ISO 9000 series standards arranged by chronological order as follows:

1. Research on application/implementation of ISO 9000 series standards

“The establishment of ISO 9000 system in integrate circuit (IC) manufacturing industry: case study of NS Electronics Bangkok (1993) Company Limited” by **Ngarmkunroongrote (1995)** studied process in establishing the ISO 9000 system, problems in process and its solutions, impacts on the company after ISO 9000 implementation. This research was carried out by collecting data from documents of Thai Industrial Standards Institute (TISI) and ISO and interviews from 19 employees about problems, solutions, and impacts after implementation ISO 9000 at NS Electronics Bangkok (1993) Company Limited.

“The standard competencies needed for educational system designers” by **Rongkum (1997)** studied the standard competencies required for designers of educational system in order to work effectively. The Delphi technique was used to collect data from 20 specialists in management and system design from academia, administration and service area. The research suggested the designer for educational system should include eight necessary standard competencies i.e. appropriate attitude, intelligence, skill, virtues, knowledge, appropriate personality, morals and values.

“Workers' ISO 9000 adoption: a case study of concrete plant of TPI Concrete Co.,Ltd.” by **Keeravisaskij (1999)** studied factors affecting ISO 9000 adoption of employees in a concrete plant by comparing between personal characteristics and communication behaviour towards ISO 9000 adoption. It also explored relation between knowledge and attitude towards ISO 9000 adoption. The questionnaires were used to collect data from 241 TPI Concrete Co., Ltd. employees. The questionnaire consisted of five parts; personal characteristics, knowledge test, communication behaviour test, attitude test, and adoption test. The result revealed that most employees accepted ISO 9000 at “good” level, knowledge was at “high” level, communication behaviour was at “moderate” level, and attitude was at “good” level. Furthermore, knowledge and attitude indicated positive relationships with ISO 9000 adoption. Moreover, employees with varied personal characteristics such as age, education level and work experience had no difference towards ISO 9000 acceptance, but employees with different communication behaviour accepted ISO 9000 differently.

“Needs and readiness of ceramic industry entrepreneurs in Lampang province applying the ISO 9000 process” by **Prachapiphat (1999)** analysed the needs, preparedness, and relating factors of the entrepreneurs to approach ISO 9000 process. The data were collected through questionnaires from 124 owners or managers of 124 ceramic factories in Lampang province. The research found that the need for ISO 9000 application consisted of acknowledgement from employees on ISO importance and its process. Moreover, the preparedness for ISO 9000 application comprised of perception of ISO 9000 importance and its process. However, the result showed that the readiness in planning was at minimal level, and the readiness of application was at moderate level. The internal factors relating to

the needs and preparedness for ISO 9000 application comprised of materials, knowledge, budget, opportunity and management system whereas the external factors consisted of policy, experts, factory space, environment and social pressures.

“ISO 9000 quality management system for school bus service” by **Suwanayuen (1999)** developed a management system for assuring quality of a school bus service by adopting ISO 9002:1994. It was conducted in four steps; comparing the existing procedures to 19 requirements of ISO 9002:1994; planning, designing and developing quality system document; implementing the released document; and internal auditing and evaluating the performance level of the quality system. The researcher used Janjao Kindergarten in Sathorn district, Bangkok to test the document which created according to ISO 9002:1994 and suitability and effectiveness of the quality system were assessed based on internal audit results and a survey of internal and external customer's satisfaction. The results revealed that the ISO 9002:1994 could be adopted for the school bus service management suitably and effectively. The students' parents were satisfied with quality and consistency of the school bus service and rated them as “good”. The employees were satisfied with quality and consistency of the school bus service.

“The application of ISO 9000 system on Thailand's export business to European Union” by **Taweedej (1999)** was conducted to increase level of knowledge and comprehension of ISO 9000's concept in order to help implementing the standard effectively. Also, it showed results of ISO 9000 application for Thailand's export to the European Union (EU) which helped setting suitable trading policies with the EU. The data were collect from document research and survey from 97 out of 600 export companies through questionnaires. The finding revealed that most companies did not evaluate benefit of ISO 9000 implementation obviously, but the companies believed that ISO 9000 certification increased sale volume or market share because it improved company's image and customers were more confident in their products.

“The implementation of the quality system ISO 9002: a case study of branch assistant managers of the Siam Commercial Bank Public Company Limited” by **Chomjinda (2000)** studied factors relating to ISO 9002 implementation by branch assistant managers of the Siam Commercial Bank Public Company Limited. Also, it investigated relationship between personal characteristics, knowledge, attitude, organisation climate, human communication, administrative support and efficiency of ISO 9002 implementation. The questionnaires were used to collect data from 131 branch assistant managers of the bank. The finding revealed that the efficiency of ISO 9002 implementation was rated at moderate level. The branch assistant managers had knowledge at high level and have positive attitude towards ISO 9002. The organisation climate and administrative support were rated at moderate level. Also, attitude, organisation climate and administrative support had positive relationship with ISO 9002 implementation efficiency. Moreover, knowledge, interpersonal communication and personal characteristics (i.e. age, tenure, period of service as branch assistant manager and education level) did not relate to efficiency of ISO 9002 implementation.

“Production industry's preparatory guidelines for ISO 9002 application” by **Kanokmahakul (2000)** investigated a process of preparation in the production industry for the ISO 9002 application in terms of four aspects; personnel, management, machines and equipment, and budget. The data were collected from 300 out of 1,351 quality management representatives (QMR) from the production industry enterprises with ISO 9002 certification in 2000 by questionnaire. The findings showed that for personnel aspect, announcement about ISO 9002 application released in the meeting. To motivate employees to cooperate, the companies promised to rewards the employees after the companies were certified with ISO. The QMR were selected from top administrators who were familiar with quality system, possessed leadership, and well accepted in their own enterprises. In aspect of management, the consultants were selected among Thai organisations because of reasonable prices. Unlike, most certifying bodies were selected from abroad according to suggestion of the consultant and the certifying bodies' performance must be well accepted among customers and worldwide. For machines and equipment aspect, most enterprises used their old machines and bought some new ones. The equipment such as computers, photocopiers and ISO 9002 textbooks were preferable for documentation. For budget aspect, direct expense cost 822,635 bahts on average and indirect expense cost 522,954 bahts and the total was 1,345,589 bahts respectively.

“ISO 9002 standardisation system in air traffic control communication systems engineering section” by **Niyomsiri (2000)** prepared the ISO 9002 documents for the Communication System Engineering Section, Chiang Mai Air Traffic Control Centre. The research data came from four administrators in Air Traffic Control Centre and four operators in the Communication System Engineering Section by using open-ended questionnaires, unconstructed cooperative observations, including conception from the experts. The research produced ISO 9002 documents consisted of quality manual and procedures, instructions and quality assurance forms for the Communication Systems Engineering Section which were proved to be effective in working environment. The result showed that the administrators and operators were highly supportive and recognised the importance of these documents.

“Development of a quality management system for labour training services based on the ISO 9000” by **Nopteepkangwan (2000)** developed a quality management system of labour training services based on ISO 9000. The tool for data collection consisted of ISO 9000 documents for labour training services, questionnaires about problems and needs of labour training services from 296 participants, questionnaires on the opinion of the 17 experts, and assessment form for the authority experts. The research produced the ISO 9000 manual consisted of quality manual and master list of documents (list of procedure manual, instruction, record form and supporting document) and these documents were evaluated and rated at good level from the authority experts. The results showed that ISO 9000:1994 quality management system for labour training services composed of seven components; situation analysis, management responsibility, quality document establishment, training and human resource development, quality documents implementation, assessment, and correction and prevention.

“The service improvement for the Passenger Control Division, Bangkok International Airport Customs Bureau, Customs Department” by **Pitisuksombat (2000)** produced improvement of service’s quality and customer satisfaction among international passengers at Bangkok International Airport of the Passenger Control Division after ISO 9002 certification on 7th December 1998. The result indicated improvement generation, including efficiency of the Department and its service quality, which resulted in more customer satisfaction, operation speed and passenger convenience.

“The adoption of ISO 9002 for service improvement: a case study of the Communications Authority of Thailand (CAT)” by **Ramchaidech (2000)** studied level of acceptance and relating factors to ISO 9002 adoption for service improvement. The data were collected from 277 officials of CAT who involved in ISO 9002 implementation by using questionnaire. Hypothesis testing from the sample group revealed that sex, age, educational level, position rank, working experience, and salary rate did not have difference of ISO 9002 acceptance, but information gaining/awareness made difference on the acceptance. However, there was no correlation between level of understanding about ISO 9002 and the level of acceptance. Moreover, the CAT’s officials accepted ISO 9002 adoption at high level.

“Development of a quality management system for academic resource services center in vocational colleges based on the ISO 9000” by **Srisamer (2000)** developed quality management system for academic resource services center in vocational colleges by adopting ISO 9000, model of Thai Industrial Standards Institute (TISI), Ministry of Industry. The data were collected from 348 participants (21 teachers, 300 students, 13 officers in academic resource services center, and 14 educational administrators from vocational colleges in the Educational Region 9), including Delphi technique to analyse the opinions of 25 experts about academic resource services centers and ISO 9000. The research provided the prototype of quality management system for vocational colleges’ academic resource services center which approved and rated as “highly suitable” by six experts. Also it produced quality management documents; the quality manual and master lists (the list of 21 quality procedures, 20 working instructions, and 22 supporting documents and recording forms).

“The effect of ISO 9000 on the service performance of government organisations and state enterprises” by **Phakdeevanich (2001)**, studied a result of ISO 9000 implementation on the efficiency of service governmental organisations. The data were collected from employees and clients of nine organisations (two educational offices, two district government offices, two post offices, one hospital, and two telecommunication offices). According to the employee data, there was no difference between before and after implementing the standard. For their clients, in contrast, there was a small improvement after implementing the standard. The data revealed that the cost for implementing and certifying ISO 9000 standard was approximately 500,000 Baht per organisation and the cost of 40,000 Baht for annual charge paid to a certified body to check the compliance, thus in the eyes of employees, the ISO 9000 standard in this case did not provide obvious benefit. However, for the clients, after standard implementing, they felt a little better, but the

researcher pointed out that the positive feeling of clients might be caused by the fact that the organisations used a computer system and set up a waiting line, which might not be related to the standard implementation. However, the researcher suggested if the organisations expected to improve their efficiencies, the standards adoption should be changed to fit the organisations' routine practice. Also, the Thailand International Public Sector Standard Management System and Outcomes (P.S.O.) standard developed by Office of the Civil Service Commission should be more appropriate for these organisations.

"Development of a quality management system for supervision academic resource center services in supervisory unit under the department of general education based on the ISO 9000:2000" by **Sriphiphat (2001)** developed a quality management system for service of the supervision academic resource center, Supervisory unit, Department of General Education based on ISO 9000:2000. The data were collected from 30 supervisors of Supervisory unit, five officials from the service, including analysing opinions of 15 specialists of the academic resource center services and 15 experts on ISO 9000:2000. The research provided the prototype of ISO 9000:2000 for the service which was approved and rated as "highly appropriate" by five authority experts. Also, it produced quality management documents (the quality manual, quality procedures, working instructions, and supporting documents with recording forms).

"Evaluation of the module ISO 9002 use as a function in the Nakornthon Hospital" by **Bunjongkarnkul (2002)** evaluated ISO 9002 application in Nakornthon Hospital by investigating preparedness of employees for ISO 9002 application, satisfaction of customer after application, and customer's difficulties during using ISO 9002 in the hospital. The quantitative method was used to collect data from 815 participants (338 general patients, 277 admitted patients, 150 employees) by using a survey. It was found that most employees were between 20-29 years old, diploma graduated, working in Nurse Department, and their work experience ranged from less than one year – more than five years. They worked in operation level and they had no responsibility in setting ISO 9002. The result indicated the employees were satisfied when expressing opinions about working process, problem solving, operation difficulty, material, co-operation, organisation development, self-development and team work after ISO 9002 implementation. The employees suggested more co-operations between internal and external division to gain more efficiency and customer satisfaction. The patients used the service because the hospital was convenient to come, had specialist doctors, and served very fast. The satisfaction of admitted patients was in 'good-excellent' level meanwhile the satisfaction of general patients was in 'moderate – good' level in term of readiness, responsibility, speed of services, confidence and reliability of services. The result showed that both patients were satisfied with the hospital's service after ISO 9002 implementation.

"Case studies result of ISO 9000 quality management system of construction's materials industry in Thailand" by **Koomroongroj (2002)** studied results of ISO 9000 application of Thai construction's materials industry. The questionnaires were used to collect data from managers and officers of 25

companies about their opinions on attitude, problems, benefits and loss from ISO 9000 application. It found out the major reason for ISO 9000 application was requirement of government policy for competition in global markets. The main problem was documentation i.e. preparing documents, following up, and monitoring procedure. The benefit of ISO 9000 application was to improve working process and to reduce error, although increasing budget cost of assessment and investment in primary structure in the business was regarded as the loss.

“The potential of ISO 9000 and ISO 14000 application for vocational education in Thailand” by **Paowattana (2002)** studied potential of vocational college presidents to apply ISO 9000 and ISO 14000 in their colleges, investigated factors influencing vocational college president’s potential, and studied readiness of vocational college to apply ISO 9000 and ISO 14000. The questionnaire was used to collect data from 202 presidents of vocational colleges. It showed that the presidents understood ISO 9000 and ISO 14000 at medium level and they had attitude towards ISO 9000 and 14000 application in their colleges at medium level. Moreover, level of education had an influence on the attitude towards ISO 9000. Duration in the job position, age and experience of attending training courses had impact on the ISO 9000 application whereas attending quality management training course had impact on ISO 14000 application. The research revealed that 40 percent of vocational college presidents would like to apply ISO 9000 and ISO 14000, 27 percent would like to apply ISO 9000, 10 percent would like to apply ISO 14000, and 21 percent would not apply either. The main problem was lack of sufficient budget and staff. The suggestion was the vocational colleges should organise more training course for ISO 9000 and 14000, and should provide budget and material for ISO application.

“Factors affecting the success of certification of quality systems ISO 9000 of the organisations in the Coaching of Triple-A Quality Center Company Limited” by **Chitsakdanon (2003)** studied the factors influencing the success of the establishment of the international quality management system ISO 9000 for the organisations coached by Triple-A Quality Center Co., Ltd. and to explore the factors related to maintaining the quality system and the advantages after their achievements. The research used questionnaires to interview 50 guests working in organisations which were consulted by Triple-A Quality Center Co., Ltd. It revealed the establishment of ISO 9000 certification were depended on the following factors: top management commitment, human resources performances, method of recruitment or training and motivation, and suitable work equipment or facilities. Meanwhile, the factors affecting maintenance of the quality system were ranked as follows: top management commitment, human resources performances, suitable work equipment or facilities, and method of recruitment or training and motivation.

“Factors influencing the implementation of the quality management system ISO 9000: 2000 a case study of the Thai Frozen Foods Association” by **Gategrut (2003)** investigated factors affecting ISO 9000 implementation in Thai frozen food industry. It used questionnaires to interview 104 entrepreneurs or managers of company who were member of the association. It found out, regarding to a single factor test, educational level, training experience, numbers in training, type of

manufacture, export value and other quality management standard certification were factors relation to ISO 9000 acceptance respectively. Regarding to multiple factor tests, the numbers in training were only one out of 18 factors relating to ISO 9000 implementation. It was concluded that the training was important factor affecting ISO 9000 acceptance, therefore, both concerning government and private organisations i.e. the Thai Industrial Standard Institute, Ministry of Industry and auditing system agencies, should extend training courses in order to make industrial entrepreneurs aware of significance and actual benefit of ISO 9000.

“Development of a quality management system on clipping service of Matichon information center based on ISO 9001:2000” by **Hanpradit (2003)**, developed ISO 9001 for clipping service of Matichon Information Center. The data was collected through questionnaire from 50 customers and ten employees of Matichon Information Center, including Delphi Technique for analysing opinions of 20 specialists in clipping service and the ISO 9001. It produced the prototype of ISO 9001 for Matichon clipping service which approved, modified, and rated as “very good” by four experts. It also provided the quality management documents (manual and master list of documents).

“The impact of ISO 9000: 2000 towards performance of printing business” by **Kulmeungnoi (2004)** examined the effects of ISO 9000 on organisation’s efficiency in Thai printing industry and relationship between level of ISO 9000 application and improvements in the efficiency of the organisations. The data were collected through questionnaire from 30 organisations which were sample group from company name list in database of the National Production Development Institution of 2004. The result revealed that the ISO 9000 adoption resulted from their executives’ request. The organisations took one year to implement the standard by consulting an advisory company. The problem occurred because the employees lacked of knowledge, the required understandings, and sufficient participation. Nevertheless, the sample group agreed that ISO 9000 adoption was very important because it improved quality of production and increased efficiency of human resources management operations. The expenses involved in the adoption varied from less than 500,000 baht to between 500,001 – 1,000,000 baht. Most of sample group did not request any other standard certification. In the evaluation of operations, efficiency of working systems increased and the sample group rated importance of ISO adoption for documentation systems at “medium” level. However, most organisations agreed that the printing industry should adopt ISO 9000 because it would create a better management system, reduce costs, increase efficiency and product quality, make customers more satisfied, and bring continuous development.

“Job performance of training staff at Electricity Generating Authority of Thailand who obtained and on process to obtain ISO 9000” by **Sakuntamalik (2004)** investigated and compared the level of job satisfaction and effectiveness of the work performed by the staff at Electricity Generating Authority of Thailand divided by units obtaining ISO 9000 versus units in the process of obtaining ISO 9000 and divided by work experience. The research tool was a five-level rating scale questionnaire regarding job satisfaction and effectiveness of the work to collect data from 288 staff. Compared between these units, the result showed that

job satisfaction on characteristics of work they performed the quality of the individual work. However, job satisfaction levels were different in aspects of the administrative methods, individual responsibility, effectiveness of the working relationship between staff and superior/colleagues. When regarding to work experience, there was different level of job satisfaction between those with less than 15 years and those with more than 15 year experience towards characteristics of work they performed. However, there was no difference of job satisfaction levels in the administrative methods, individual responsibility, effectiveness of the working relationship between staff and superior/colleagues, the quality of the individual work.

“Clients’ opinions on the administration of the ISO 9002 certified president’s office, Suan Dusit Rajabhat University” by **Sirisajjanurak (2005)** investigated and compared clients’ opinions on the administration of the President’s Office of Suan Dusit Rajabhat University before and after ISO 9002 certification. The clients were classified by their personal characteristics (sex, age, educational level, working experience, frequency of visits to the President’s Office, and type of clients). The survey was conducted to collect data from 350 university employees who worked at least three years and had visited the President’s Office by using questionnaire. It showed, regarding to personal characteristics, the major respondents were female, aged 31-40 years, bachelor’s degree graduated, and visited the President’s Office 1-2 times per week. Before ISO 9002 certification, the overall clients’ opinion on the administration of the President’s Office was at high level. Quality of staffs, administrative services, and the office environment were rated at a moderate level. After ISO 9002 certification, the overall clients’ opinion on the administration of the President’s Office was at high level. Every aspect of working functions was rated at a high level.

“Achievement in implementing of the quality standard system ISO 9001:2000 for developing government institutions in Chiang Mai Tobacco Office, Thailand Tobacco Monopoly, Ministry of Finance” by **Charoenpakdi (2007)** investigated the achievement that the Chiang Mai Tobacco Office obtained ISO 9001 certification, analysed factors affecting the success of ISO 9001 certification, and analysed the measures for maintaining ISO 9001 after the certification. The interviews and questionnaires were tools to collect data from four executives and sample group of 300 employees from all levels in the Chiang Mai Tobacco Office. It showed the Chiang Mai Tobacco Office highly succeeded in ISO 9001 implementation because the organisation was aware of social responsibility, laws and ethics, employee’s participation and cooperation in maintaining the standard system, including the opportunity for employees to develop their knowledge and skill continuously and the continuous improvement for maintaining level of customer satisfaction. The external factors such as modern technology’s advancement and competitive operation of business and trade affected the ISO 9001 implementation although it revealed that creating employee’s satisfaction had very low impact on the implementation. Likewise, the internal factors such as availability of resources highly influenced the operation whereas the recruitment process, training and motivating the employees had impact at medium level, but ambition of the executives and employee’s participation only impacted on ISO 9001 operation at low level. In term of measures for maintaining ISO 9001 after certification, the executives understood and tried to

encourage every employee to maintain their working standard, including motivating employees to improve and develop their works to fulfil customer's need. The measures were applied to involve everyone to create quality and unity of the organisation, including participation of employees who had knowledge and potential to work appropriately.

“Satisfaction study of faculty member, personnel and student in quality management system ISO 9000 standard certified academy: a comparative case study in private engineering academy” by **Kaewchur (2007)** studied the effect of ISO 9000 on satisfaction of faculty members, staffs and students in engineering academy in private universities. The questionnaire was a tool to collect data from sample groups (116 faculty members, 851 students, and 70 staff in total) which were four engineering faculty of four private universities (two ISO 9000 certified faculties, and two non-certified faculties). The result indicated the level of satisfaction of ISO 9000 certified faculties were higher than those which were not certified. Between two certified faculties, there was no different level of satisfaction between faculty members and staff, but there was difference in the student group. In contrast, for non-certified faculties, there was no different level of student satisfaction, but there was difference in satisfaction level between faculty members and staff. The research concluded that ISO 9000 had positive effect on faculty members, staff, and students in engineering academy.

“Productivity of organisation on management application international standard system ISO 9001: 2000: a case study of companies certified by Global Certification Service Limited” by **Pichetverachai (2007)** studied level of productivity after ISO 9001 application, the relationship between personal factor and level of opinion on productivity after ISO 9001 application, and the relationship between personal factor and the nature of work system after ISO 9001 application. The questionnaire was a tool to collect data from 97 directors/managers/quality management representatives from 97 organisations that were certified ISO 9001 by Global Certification Services. It showed that productivity of the organisation after ISO 9001 application was at the very high level. The characteristics of working system i.e. document management system, resource management system, production and management system, and continuing measurement analysis and improvement system had positive relationship relating to productivity level which resulted from ISO 9001 application. The personal factor and characteristic of continuing working system had relationship with productivity level resulting from ISO 9001 application.

“The quality management system ISO 9000 in the context of the Thai public and private sectors” by **Prasertsingkul (2007)** was divided into two sections. The first section was a qualitative survey about stakeholder's opinions relating to ISO 9000. From 1993 – 2004, there were 5,833 organisations in Thailand registered as ISO 9000 certificate holders. In this investigation, the researcher used systematic random sampling to obtain 276 organisations, including ISO-9000-related organisations such as certifying bodies and consultant and training organisations. It explained that business competition was a factor lowering the quality of the certification process. There were conflicts in interest involved, including

inconsistencies in the government's quality policy overtime. This state of affairs had effects on the continuous implementation of the ISO 9000 certification process, both in the public and the private sectors. However, only the private sector was required to have this certification, and could be aware of the real benefits from the quality standard system.

The second section explored determinants of the maintenance and extension of ISO 9000 standard certification from the same population. The hypothesis was government promotion schemes for ISO, mandatory rules and regulations, type and size of organisation, industry, personnel experiences in quality management, duration and expenses incurred during the certification process, and perceptions of quality management improvement, influenced on whether to maintain or terminate the ISO 9000 certification of a particular organisation. Compared the determinants of the maintenance of ISO 9000 certification between public and private organisations, it was different. The government promotion scheme for ISO 9000 was the main factor for public organisations, whereas the expenses and perception of quality management improvement were the main factor for private organisations. In conclusion, the researcher suggested that to achieve sustainable implementation of ISO 9000 certification in Thailand, various strategies were necessary in accordance with different types of organisation.

"Problems in applying ISO 9000 standard to medium scale construction organization: case studies of Chiang Mai Province" by **Tunshongcharoen (2007)** investigated problems in applying ISO 9000 standard to medium scale construction organisation in Chiang Mai province. The questionnaires used to collect data on benefits and problems in ISO 9000 application from 54 participants of four selected organisations (39 participants of two organisations applied ISO 9000 and 15 participants of two organisations which did not apply) to analyse and set up measures for solution. It showed participants regarded the significance of ISO 9000 to organisation development because it helped systemising working procedures, decreased errors, lowered amount of waste materials, and helped recordkeeping management. In terms of obstacles and problems of ISO 9000 application, the finding indicated two main problems; a lack of understanding on working requirement from employees and increasing amounts of records. On the other hand, there were six benefits of ISO 9000 application i.e. making recordkeeping more systematically, getting good capacity material on time, more effective communication, achieving good quality construction standard easier than before, being able to use machines and equipment effectively due to well maintenance, and increasing potentials of organisation in competitiveness. The opinions on ISO application towards organisation development were quite similar, but the organisations without ISO 9000 regarded that applying ISO 9000 was complicated and it might cause more problems. In contrast, organisations who applied ISO 9000 regarded that applying ISO 9000 could give more benefits. It suggested measures and solutions as follows: providing understanding and knowledge on work requirement for those who engaged with ISO 9000 application, providing manual on ISO standard for those who engaged with ISO application, and creating database in order to keep record and document systematically.

2. Research on attitude and ISO 9000 series

“Factors affecting to ISO 9000 adoption of industrial workers: study case only press plant of Siam Motors and Nissan Co.,Ltd.” by **Smudraprabhud (1997)** investigated the factors affecting to ISO 9000 adoption of industrial workers by using press plant of Siam Motors and Nissan Co.,Ltd. as case study. The data was collected from 184 industrial workers by questionnaires about knowledge, attitudes and ISO 9000 adoption. It found out that age, educational level, and working experience had no difference on acceptance of ISO 9000 adoption while the difference of salary rate of employees related to the ISO 9000 adoption as employees having more salary more accept the ISO 9000 adoption. Knowledge and attitude were significantly related to the ISO 9000 adoption.

“The attitude of quality management representative towards auditor ISO 9000: a case study of industrial sector of electrical machinery and electronics” by **Petchsrisom (2003)** indicated that quality management representatives had positive attitude towards ISO 9000 auditors at a high level. Hypothesis testing indicated the different gender, education level, working experience in ISO system, and type of business do not impact on the different attitudes. Understanding the level of ISO requirements had positive correlation to the attitude. It suggested senior management of the organisation should promote the ISO quality management system and audit requirement knowledge to their quality management representative and promote teamwork concept in the organisations. The interactivity between organisations would help improve the quality management system to be more effective and impact the organisations.

“Attitudes of employee of the Electricity Generating Authority of Thailand (Mae Moh mine) towards the quality management system, ISO 9001:2000” by **Katraunmoon (2006)** explored attitudes of 254 employees by using a questionnaire through the lens of the tri-component of attitudes (cognitive component, behaviour component, and affective component) towards the ISO 9001 Quality Management System.

“The attitude of the customers contacting with small and medium enterprises (SMEs) without ISO 9000 standard certification case study: Tai Fou Long International Co.,Ltd.” by **Pradubsri (2012)** examined the attitude of customers through questionnaires collected from 400 people (officers, managers and chief executive who are customers of the company) for statistics analysis. The findings revealed the research population who understood ISO 9000 standard system seriously paid attention when contacting SMEs enterprises without ISO 9000 certification in medium level.

3. Research on knowledge and its relations to ISO 9000 series adoption

“The application of ISO 9000 system on Thailand's export business to European Union” by **Taweedej (1999)** was conducted to increase level of knowledge and comprehension of ISO 9000 concept in order to help implementing the standard effectively. It examined the results of ISO 9000 application of Thai export companies to EU. It aimed to increased knowledge and understanding of ISO 9000's concept in order to help implement the standard effectively.

Research results:

Most companies did not assess the benefit of ISO 9000 implementation yet. The Thai export companies believed acquiring the ISO 9000 certification would increase the sales volume, market share, or company's reputation. The customers would have more confidence on the products. Although, the sales volumes also relied on other factors e.g. the price, after implementing the ISO 9000, the problem of quality and cost had considerably decreased. Hence the ISO 9000 was helpful in a long term.

Treetanakitti, (2001) studied level of knowledge about ISO 9002 standard, organisational commitment, and acceptance of ISO 9002 of staffs at Siam Commercial Bank Credit (Bangkok branches), personal characteristics and personality and their impacts on acceptance of ISO 9002, and relationship between knowledge about ISO 9002, organisational commitment, and acceptance of ISO 9002.

Population: 253 staffs working in credit operation at Siam Commercial Bank from 109 medium and big branches in Bangkok. (253/688)

Tools: personal data questionnaire, MPI (the Maudsley Personality Inventory) questionnaire, ISO 9002 quiz, rating scale questionnaire about organisational commitment, rating scale questionnaire about ISO 9002 acceptance.

Research results:

1. Most of staffs working in credit operation at Siam Commercial Bank had high level of knowledge about ISO 9002. They had high level of organisational commitment. They have moderate level of acceptance in ISO 9002.
2. The personal characteristics i.e. work duration/experience, work position, and different personality did not impact on acceptance of ISO 9002.
3. *Level of knowledge about ISO 9002 standard and the organisational commitment had positive relation to acceptance of ISO 9002.*

Kasamsun (2002) explored knowledge about ISO standard, acceptance of innovation, and participation of employee in the ISO adoption and their power as predictors for successful ISO standard certification. It compared the knowledge about the ISO standard, acceptance of innovation, and participation of employee in the ISO adoption between certified organisations and those organisations which were applying for certification for ISO 9000 and ISO 14000.

Population: 467 employees from ten ISO certified organisations and ten organisations applying to ISO certification in Northern Region Industrial Estate, Lamphun province. (467/900)

Tools: demographic data questionnaire, ISO 9000/ISO 14000 quiz, assessment for acceptance of innovation questionnaire, and assessment for participation of employee in ISO 9000/ISO 14000 adoption questionnaire.

Research results:

1. The level of knowledge about the ISO standard, acceptance of innovation, and participation of employee in the ISO standard adoption were *powerful and effective predictors* for successful the ISO 9000/ISO 14000 standard certification.
2. The level of knowledge, acceptance of innovation, and participation of employee in the ISO 9000/14000 standard certified organisations were higher than those in the organisations applying for the ISO 9000/ISO 14000 standard certification.

Petchsrisom (2003) investigated attitudes of quality management representative towards ISO 9000 standard auditor, explored a difference, background and their impact on the attitude of quality management representative towards ISO 9000 standard auditor, and examined relationship of quality management representative knowledge about ISO requirement and their attitudes towards ISO 9000 auditors.

Population: 215 quality management representatives from ISO 9000 certified organisations in industrial sector of electrical machinery and electronics. The name list of the organisations was collected by Thai Industrial Standards Institute (TISI). (215/464)

Tools: personal data questionnaire, quiz about specification of quality management system standard, and questionnaire about specification of evaluation. Data was analysed with SPSS.

Research results:

1. The quality management representatives had positive attitude at high level towards ISO 9000 auditors.
2. The different backgrounds i.e. gender, education level, work experience on quality management system, and type of business had no impact on different attitude towards ISO 9000 auditor.
3. The *level of knowledge* about specification of quality management system standard and about specification of evaluation were *related to attitude of quality management representative*.

Suktawornjaroenporn (2004) conducted explanatory research to study level of knowledge about ISO 9001, attitude and performance towards ISO 9001 of employees in department of production, in a plastic factory. It assessed the ability of level of knowledge and attitude as predictor for performance under the ISO 9001.

Population: 114 employees who work in department of production in a plastic factory. (114/236)

Tools: personal data questionnaire, ISO 9001 quiz, rating scale attitude towards ISO 9001 questionnaire, questionnaire about the performance in compliance with the ISO 9001.

Research results:

1. The employees had knowledge about the ISO 9001 at good level in overall aspect.
2. The employees had attitude towards the ISO 9001 at good level in overall aspect.

3. The employees performed in compliance with the ISO 9001 at excellent level in overall and every aspect.
4. The knowledge and the attitude towards ISO 9001 could *predict performance in compliance with ISO 9001 standard 14.3 %*.

Timaithong (2004) explored attitude in the knowledge, satisfaction, and participation of the employees of Thai Sport garment Co. Ltd. towards the ISO 9001.

Population: 250 employees of Thai Sport garment Co. Ltd.

Tools: personal data questionnaire, attitude questionnaire about knowledge, satisfaction, and participation of the employees, questionnaire about result of ISO 9001 standard implementation.

Research results:

1. The knowledge, satisfaction, and participation of the employees towards ISO 9001 were at high level.
2. The result of ISO 9001 standard implementation revealed the employees regarded the ISO 9001 adoption generated continuous development and helped policy-making process.

Chotephan (2009) conducted descriptive research to compare the fundamental factors (personal characteristics) towards knowledge, attitude, and behaviour relating to ISO 9001 of employees at Hardford Print Company Limited.

Population: 70 employees (from 80) in Hardford Print Company Limited

Tools: personal data questionnaire (gender, age, marital status, current position, level of education, work experience, relating experience), ISO 9001 standard quiz, rating scale attitude towards ISO 9001 questionnaire, questionnaire about the behaviour towards the ISO 9001 standard implementation.

Research results:

1. In term of fundamental factors, most participants were male, aged 35-45, married, working in operating level, with degrees lower than high school, having more than ten year work experience, and have experience in colour production more than ten years.
2. The employees with different personal characteristics did not impact on difference in their level of knowledge about the ISO 9001. The employees had high level of knowledge.
3. The employees with different personal characteristics i.e. work position and work experience had different opinions towards the ISO 9001. Most employees agreed ISO 9001 implementation created the customer's confidence.
4. The employees with different personal characteristics i.e. gender and work experience had different behaviours towards the ISO 9001. The employees used the standard in arranging the filing system and they had confidence in quality.

4. Personal characters and their impact on ISO standards adoption.

Maphopsuk (1999) explored opinions of administrators and instructors towards academic administration operating system under ISO 9000 in the faculties of education in Bangkok under the ministry of university affairs. Maphopsuk compared opinions of administrators and instructors by using categories i.e. gender, age, work experience, level of education, and current position.

Population: 280 participants (executive administrators and instructors) in the faculties of education in Bangkok under the ministry of university affairs. (280/396)

Tools: personal data questionnaire (gender, age, work experience, level of education, and current position), rating scale questionnaire about opinion towards academic administration operating system under ISO 9000, questionnaire for suggestion and additional comment.

Research results:

1. Opinions of administrators and instructors towards academic administration operating system under ISO 9000.

level of rating	Aspects of assessment
high level	academic administration of responsibilities system work storage operating system the term of inspection and examination operating system
moderate level	quality system contract consideration system designing control operating system file and data control operating system tools buying system and quality human resources availability operating system work inspection method determination inspection tools control operating system deficient work control operating system solution operation system operating quality recording system organisational supervision operating system training system administration system statistical method operation system

2. Opinions of administrators and instructors towards academic administration operating system under ISO 9000 classified by gender, age, work experience, level of education, and current position.

	Gender	Age	Work experience	level of education	current position
difference	x	x	x	x	✓

Ratanamalaya (2001) examined factors (personal factors, organisational climate) impacted on the acceptance of ISO 9002 among Thai Airways International Public Co. Ltd.'s ground hostess and traffic officers.

Population: 200 grounds hostess & traffic officers working at Bangkok International Airport, Thai Airways International Public Co. Ltd. (200/405)

Tools: personal data questionnaire, rating scale questionnaire about organisation climate, and rating scale questionnaires about acceptance of ISO 9002. Data was one-way analysed of variance and Scheffe by SPSS.

Research results:

1. The workers had moderate level of perceiving organisational climate.
2. The workers had high level of acceptance of ISO 9002.
3. The male workers had higher level of acceptance than female workers.
4. The workers with different age, different duration/experience of work, different department had no different level of acceptance.
5. The workers perceiving the organisation's policy and goal, job description, importance of work standard and overall organisation climate had different level of acceptance.

Nakpun (2002) investigated opinions of professional nurse at Police Hospital towards ISO 9002, explored level of knowledge about ISO 9002 standards, role about ISO 9002, and behaviour to access to ISO 9002 of professional nurses at Police Hospital and their relationship to opinion towards ISO 9002, and examined relationship between personal characteristics (i.e. age, work experience, current work position, marital status and level of education) and the opinions towards ISO 9002.

Population: 263 professional nurses in the Police Hospital. Data was analysed by using SPSS. (263/767)

Tools: personal data questionnaire, ISO 9002 quiz questionnaire, assessment questionnaire on role about ISO 9002, assessment questionnaire on behaviour to access information about ISO 9002, rating scale questionnaire on opinion towards ISO 9002.

Research results:

	Age	Work experience	work position	marital status	level of education
relation to opinion	✓	x	✓	x	x

1. The professional nurses had level of knowledge, roles, and behaviour of information access at moderate level.
2. The personal characteristics i.e. work experience, marital status, and level of education had no relation to opinion towards ISO 9002.
3. The age had relation to opinion towards ISO 9002. The older samples were prone to agree with the ISO 9002 at high level.
4. The current job position had relation to opinion towards ISO 9002. The senior positions were prone to agree with the ISO 9002 at high level.
5. Level of knowledge about ISO 9002 standard of the professional nurses had no relation to opinion towards ISO 9002 standard because both low and high levels of knowledge had positive opinions.
6. Role about ISO 9002 had relation to opinion towards ISO 9002 because the samples who had more roles were prone to agree with ISO 9002.
7. The behaviour to access to information about ISO 9002 standard of professional nurses at Police Hospital had no relation to opinion towards ISO 9002 standard. The sample group had moderate level of information access behaviour.

Srithong (2002) investigated relationships between personal characteristics (attitude and information exposure), organisational characteristics, characteristics of ISO 9002, and acceptance of ISO 9002 to predict ISO 9002 adoption of the administrators in secondary schools under the Department of General Education.

Population: 297 participants (directors, administrative assistant directors, academic assistant directors, controlling assistant directors, serviceable assistant directors, quality management representatives, heads of department and quality management committee) from 17 schools. (297/316)

Tools: personal data questionnaire, questionnaire about attitude, questionnaire about organisational characteristics, questionnaire about characteristics of ISO 9002, and questionnaire about acceptance of ISO 9002.

Research results:

1. The personal characteristics (*attitude and information exposure*), *organisational characteristics, characteristics of ISO 9002 had relation to the acceptance of ISO 9002* among the administrators in secondary schools under the Department of General Education.
2. Organisational characteristics, characteristics of ISO 9002 standard, and personal characteristics (attitude) *could be effective predictor the level of ISO 9002 adoption at 49%.*

Jui-in (2004) investigated and compared level of ISO 9000 acceptance of employees in Boonrawd Brewery Incorporation Co.,Ltd., categorised by gender, age, level of education, current job position, and work experience (duration).

Population: 605 employees of Boonrawd Brewery Incorporation Co. Ltd. from two factories; Pathumthani Brewery Co. Ltd. and Khonkaen Brewery Co. Ltd. (605/981)

Tools: personal data questionnaire, rating scale questionnaire about acceptance of ISO 9000.

Research results:

1. The employees of Boonrawd Brewery Incorporation Co.,Ltd. had high level of acceptance of ISO 9000.
2. The personal characteristics i.e. gender and age had relation to the acceptance of ISO 9000 meanwhile level of education, current job position, and work experience (duration) did not have relation to the acceptance of ISO 9000.

	Gender	Age	Level of education	work position	Work experience
difference	✓	✓	×	×	×

Narindrankora na Ayuthya (2005) explored opinion of employees in South Bangkok Power Plant, Electricity Generating Authority of Thailand about the consequence after ISO 9001 certification and their perception to information about the ISO 9001. The opinions were categorised by personal characteristics i.e. gender, age, level of education, work experience (duration), work position. It examined relationships between information perception and their opinions about the ISO 9001 certification.

Population: 300 employees who were not in executive position in South Bangkok Power Plant, Electricity Generating Authority of Thailand. (300/652)

Tools: personal data questionnaire (gender, age, level of education, work experience (duration), work position), questionnaire about consequence after the ISO 9001 certification, questionnaire about perception to information of ISO 9001.

Research results:

1. The majority of employees agreed at moderate level about the consequence after the ISO 9001 certification.
2. The employees had opinions towards personal and specialised media at moderate level for information perception.
3. *The perception or access to information* about the ISO 9001 standard of the employees (personal and specialise media) *had relationship to their opinions towards the ISO 9001 certification.*
4. The employees with different gender had no different opinion towards the ISO 9001 certification.
5. Employees with different age, level of education, work experience (duration), current work position had different opinions towards the ISO 9001 certification.

	Gender	Age	Level of education	Current position	Work experience
difference	x	✓	✓	✓	✓

Sirisajjanurak (2005) investigated and compared opinions of clients towards administration service of the President's Office, in Suan Dusit Rajabhat University before and after the ISO 9002 certification. The client's opinions were categorised by personal characteristics.

Population: 350 participants (174 lecturers and 176 staffs) working in Suan Dusit Rajabhat University for at least three years and had used the service provided by the Secretary Section, the Office of the President.

Tools: questionnaire about personal data (gender, category of clients, age, level of education, work experience (duration), frequency of visiting) and opinion towards administration service.

Research results:

1. Before the ISO 9002 certification, the opinion of clients towards the administration service was at high level. After the ISO 9002 certification, the opinion of clients was still at high level.
2. Before the ISO 9002 certification, the male clients, aged more than 40 years old, having postgraduate degrees, working more than 8 years, visiting 1-2 times per week, working as lecturer had opinions towards the administration service higher than other categories of clients.
3. After the ISO 9002 standard certification, the same categories of clients which were the male clients, aged more than 40 years old, having postgraduate degrees, working more than 8 years, visiting 1-2 times per week, working as lecturer had opinions towards the administration service higher than other categories of clients.

Pradubsri (2012) examined attitude of customers who contacted non-ISO 9000 standard certification SMEs enterprises. It investigated personal factors of the customers impacting on attitude towards contacting the non-ISO 9000 certification SMEs enterprises.

Population: 400 participants (officers, managers and chief executives) from four companies that were customers of Tai Fou Long International Co.,Ltd. (400/1,078)

Tools: personal data questionnaire, rating scale questionnaire for attitude assessment. The data was analysed by using SPSS.

Research results:

1. Most participants were female customers, aged 21-30 years old, with bachelor degrees, having more than 5 year work experience, and had knowledge about the ISO 9000 standard.
2. In term of attitude, the most customers understood and knew ISO 9000. They paid attention to select and to contact the non-ISO 9000 certification SMEs enterprises at medium level.
3. After contacting the non-ISO 9000 certification SMEs enterprises, the most customers *had positive attitude from the first process to the final process*. However, the most customers had attitude at low level towards process of product design control and quality control of non-ISO 9000 certification SMEs enterprises.

Comparative summary of results of personal characteristics and their impact on ISO 9000 standards adoption

	Mapho psuk (1999)	Ratana malaya (2001)	Treeta nakitti, (2001)	Nakpu n (2002)	Petchs risom (2003)	Jui-in (2004)	Narindr ankora na Ayuthy a (2005)	Chotep han (2009)
	operati ng system under ISO 9000	ISO 9002 accept ance	ISO 9002 accept ance	ISO 9002 stand ards	ISO 9000 stand ard auditor	level of ISO 9000 stand ard accepta nce	conseq uence after the ISO 9001 certifica tion	opinion towards the ISO 9001 stand ard
Gender	x	✓			x	✓	x	x
Age	x	x		✓		✓	✓	x
work expe rience	x	x	x	x	x	x	✓	✓
level of educat ion	x			x	x	x	✓	x
work posit ion	✓		x	✓		x	✓	✓
depart ment		x						
person ality			x					
type of busi ness					x			
marital status				x				x
relat ing								x

expe rience								
----------------	--	--	--	--	--	--	--	--

5. The other relevant topics

Sayounggoon (2000) studied job satisfaction, expectation and spirit of workers, compared impact of personal characteristics in training and knowledge about ISO 9000, and examined relationships between job satisfaction, expectation, spirit, and job performances.

Population: 210 workers in the factory in Phithsanulok province (100 workers from ISO 9000 certified factory and 110 workers from uncertified factory)

Tools: personal characteristic questionnaires, ISO 9000 quiz questionnaire, job satisfaction, expectation and sprit questionnaire, and job performance evaluation form; data analysis was conducted by SPSS/FW 6.0.

Research results:

1. Personal characteristics: gender, age, educational level, work period, training and knowledge about standard quality system ISO 9000 effected on job satisfaction expectation and morale of workers

	certified factory	uncertified factory
job satisfaction	high level	high level
expectation towards benefits of ISO 9000 standard and its importance	high level	< high level
spirit	high level	> high level

	certified factory	uncertified factory
job satisfaction	female > male	female > male
job satisfaction	old > young	old > young
level of knowledge about ISO 9000	high level	low level
expectation towards benefits of ISO 9000 standard and its importance	old > young	young > old
level of support	more work experience > less work experience	
level of support	certified factory > uncertified factory	

2. Workers, trained about ISO 9000 standard, had more level of job satisfaction than those who never.

3. Education level did not have impact on expectation in both type of factory.

4. Workers in certified factory, trained about ISO 9000 standard, had more spirit than those who never.

5. Workers having knowledge about ISO 9000 at high level had more support than those having knowledge at low level.

6. Job satisfaction, expectation and support of workers in ISO 9000 certified factory were related to work performance.

7. *Job satisfaction, expectation and support could predict efficiency of worker's performance, but it was not accurate enough* because there were other factors e.g. motivation to work, personal awareness, etc. which might impact on performance.

Panasomboon (2001) compared the perceived organisational climate of employee between ISO certified organisations and organisations that were applying for ISO certification, the desired organisational climate of employee ISO certified organisations and organisations applying for ISO certification, and the discrepancy between perceived and desired organisational climate of employee in ISO certified organisations and organisations applying for ISO certification. Panasomboon investigated power of composition of organisational climate as predictor which impacted on success of ISO certification.

Population: 900 employees from 20 organisations (10 ISO certified organisations and ten organisations that were applying for ISO certification) (900/24,415)

Tools: demographic data questionnaire, questionnaire on perceived organisational climate, and questionnaire on desired organisational climate.

Research results:

1. The ISO certified organisations had better perceived organisational climate than the organisations that were applying for ISO certification.
2. The ISO certified organisations had no different desired organisational climate from organisations applying for ISO certification.
3. The ISO certified organisations had less discrepancy between perceived and desired organisational climate than the organisations applying for ISO certification.
4. Composition of organisational climate which could be predictor for success for ISO certification were consisted of structure, individual responsibility, warmth and support, performance standard and expectation, risk and risk taking, and environmental awareness.

Jongon (2007) explored satisfaction of employees towards ISO 9001 implementation in Maeklong Foods Co., Ltd., and compared employee's satisfaction categorised by level of work position, level of education, and work experience.

Population: 327 employees in Maeklong Foods Co', Ltd (327/415)

Tools: personal data questionnaire, rating scale questionnaire on satisfaction towards ISO 9000 implementation, questionnaire about opinion and additional suggestion.

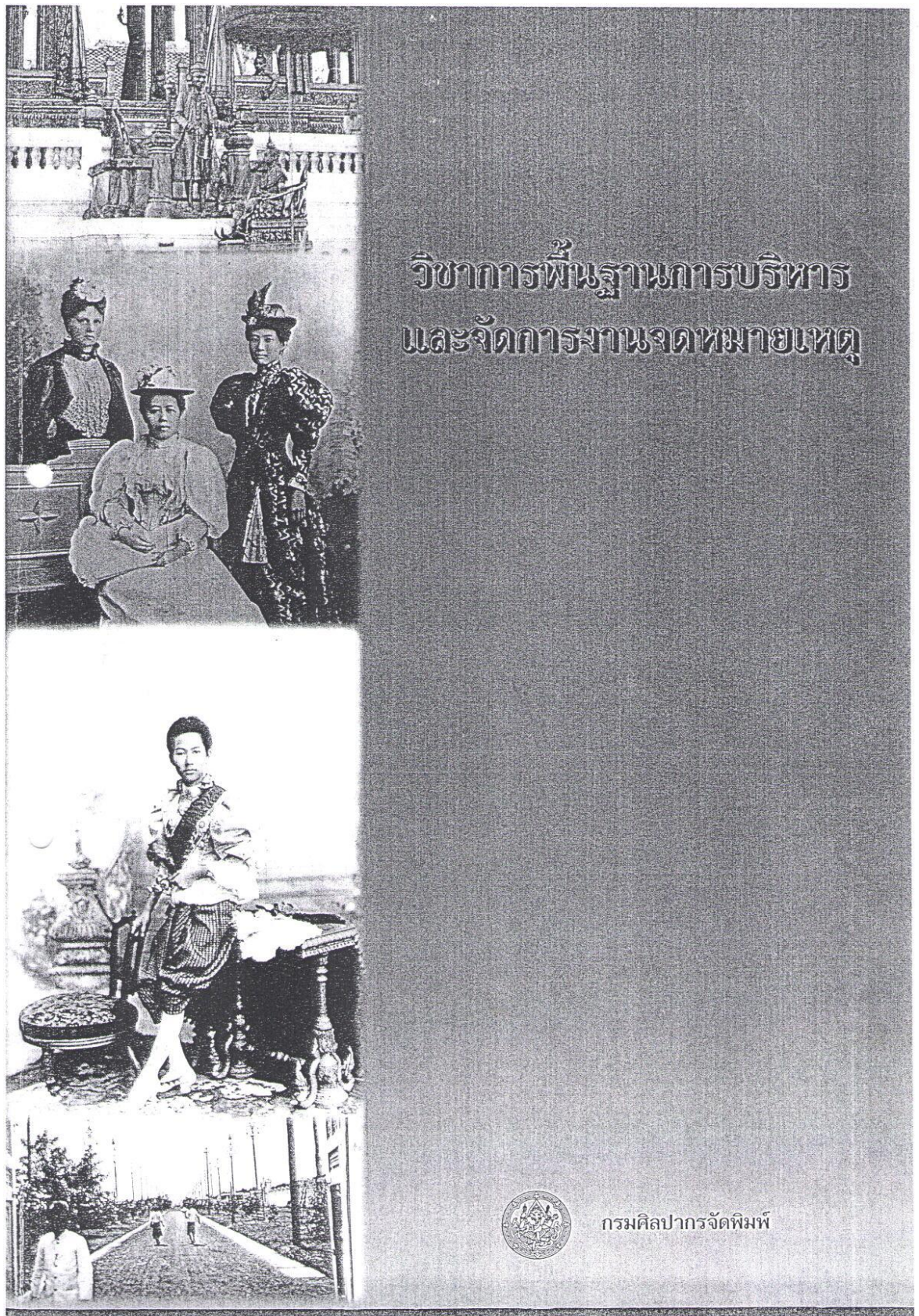
Research results:

1. The employees had satisfaction towards ISO 9001 implementation at agreed level.
2. There were different levels of satisfaction, categorised by work position of the employees. The managers and the supervisors had high level of satisfaction, but the workers had low level of satisfaction.
3. There were different levels of satisfaction, categorised by level of education of the employees. The employees with high school degree had low level of satisfaction, but the employees with degrees higher than high school had high level of satisfaction.
4. There were different levels of satisfaction, categorised by level of work experience. The employees with work experience less than one year had low level of satisfaction, but the employees with more work experience had high level of satisfaction.

Appendix 10

Principles of Fundamental Administration and Archives Management วิชาการ
พื้นฐานการบริหารและจัดการงานจดหมายเหตุ (Fine Arts Department, 1999) English
version by the author of this thesis, Pimphot Seelakate.

Basic Principles of Archives Management



วิชาการพื้นฐานการบริหารและจัดการงานจดหมายเหตุ

พิมพ์ครั้งแรก ๑,๐๐๐ เล่ม พุทธศักราช ๒๕๔๒

ข้อมูลทางบรรณานุกรมของหอสมุดแห่งชาติ

กรมศิลปากร.
วิชาการพื้นฐานการบริหารและจัดการงานจดหมายเหตุ.
กรุงเทพฯ : กรมศิลปากร, ๒๕๔๒.
๒๕๐ หน้า. ภาพประกอบ.
๑. จดหมายเหตุ. ๒. หอจดหมายเหตุแห่งชาติ--
การบริหาร. I. ชื่อเรื่อง.
๐๒๕.๑๗๑๔
ISBN ๙๗๔ - ๙๑๗ - ๔๐๖ - ๕

ที่ปรึกษา

นายนิคม มูลิกะคามะ อธิบดีกรมศิลปากร
นายภิรมย์ จินะเจริญ รองอธิบดีกรมศิลปากร
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นายอวรักษ์ สึงหัดกุล รองอธิบดีกรมศิลปากร

คณะผู้จัดทำ

นางสายไหม จมกลศึก นางสาวนันทา วงศ์พานิช
นางสุรีย์รัตน์ วงศ์เสียม นางสาวนันทา แยมสาขา
นางสาวกรพินธุ์ ทวีตา นางสาวศุภราพร ฤกษ์ดีกุล



วิชาการพื้นฐานการบริหารและจัดการงานจดหมายเหตุ



อภิเนนทาการจากกรมศิลปากร
กระทรวงวัฒนธรรม

<p>Principles of Fundamental Administration and Archives Management</p> <p>First Published: 1,000 copies in B.E. 2542 (1999)</p> <p>Information on Cataloguing in Publication, National Library of Thailand</p> <div> <p>The Fine Arts Department</p> <p>Principles of Fundamental Administration and Archives Management</p> <p>Bangkok: The Fine Arts Department, B.E. 2542</p> <p>250 Pages. Illustrations.</p> <p>1. Archives 2. National Archives of Thailand -- Management. I. Title.</p> <p>025.1714</p> <p>ISBN 974-417-406-4</p> </div>							
<p>Advisors</p> <p>Mr. Nikom Moosigakama, Director General, the Fine Arts Department</p> <p>Mr. Pirom Jinachareon, Deputy Director General, the Fine Arts Department</p> <p>Mrs. Kanokporn Akkaraporn, Deputy Director General, the Fine Arts Department</p> <p>Mr. Arak Sanghitkul, Deputy Director General, the Fine Arts Department</p> <p>Producer Team</p> <table> <tr> <td>Mrs. Saimai Jobkolsuk</td><td>Ms. Kanittha Wongpanich</td></tr> <tr> <td>Mrs. Sureerattana Wongsangeam</td><td>Ms. Naiyana Yaemsakha</td></tr> <tr> <td>Ms. Korapin Taveeta</td><td>Ms. Supparaporn Lerkdikul</td></tr> </table>	Mrs. Saimai Jobkolsuk	Ms. Kanittha Wongpanich	Mrs. Sureerattana Wongsangeam	Ms. Naiyana Yaemsakha	Ms. Korapin Taveeta	Ms. Supparaporn Lerkdikul	<p>Principles of Fundamental Administration and Archives Management</p>
Mrs. Saimai Jobkolsuk	Ms. Kanittha Wongpanich						
Mrs. Sureerattana Wongsangeam	Ms. Naiyana Yaemsakha						
Ms. Korapin Taveeta	Ms. Supparaporn Lerkdikul						

<p>Foreword</p> <p>Culture is the key foundation of the nation's educational, social, economic and political development. With the role in preserving the wide range of national cultural heritage, the Fine Arts Department's responsibilities include conducting research, data collection and analysis, retaining, preserving, supporting and passing on the national cultural heritage to the descendants as well as providing services. The Fine Arts Department is, thus, aware of and sees the importance of all aspects of its roles. Apart from the major responsibilities in national cultural heritage preservation, the Department puts all the effort to keep up with the rapid changes in the society in a timely manner. Also, the Department aims to enhance the efficiency and capacity of its employees in every field, starting from the archival work.</p> <p>Archives are one of the cultural heritages, in the same category as archaeological site and antiquities. The difference is that archives are in the form of documents and historical records. Archives are the cultural evidence that represent the nationhood, as a valuable repository of knowledge for government agencies especially the researchers. Archives also function as primary evidence to refer to the historical analysis in any fields of studies ranging from public administration, economics and social sciences. They are the compass to identify the direction of politics and governance development in the country from the past to the present. As a result, the Fine Arts Department is determined to develop our archives initiatives to meet the international standards.</p> <p>With the deepest gratitude to Her Royal Highness Princess Maha Chakri Sirindhorn who has special interests in archives, Her Royal Highness recognized the needs to establish a curriculum in archives studies at the university level. This initiative can foster the extensive knowledge in archives among Thai people and develop the understanding and desire to preserve various documents which can be the valuable historical and cultural evidence in the future. With this awareness in the value of archives, Thai people will continuously collaborate to preserve these cultural heritages.</p> <p>On the special occasion of National Heritage Preservation Day on May 2, B.E. 2542, the Fine Arts Department aspired to follow the initiative of Her Royal Highness Princess by composing the Principles of Archives Management with the experiences and expertise of the assigned archive experts. The objective of this book is for academic purpose on archive studies for those whose works are related to archives and the general public.</p> <p>The Fine Arts Department hopes that this book will be beneficial to the nation's archives work and can serve as the handbook for archives operation to the fullest capacity.</p> <p style="text-align: right;">Mr. Nkom Moosigakama Director General, the Fine Arts Department</p>	
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บทที่ ๗ การประกันคุณภาพงานจตมหายเหตุ
แผนงาน โครงการ และกิจกรรม
การประเมินผล



บทที่ ๘ องค์การระหว่างประเทศ
สภาการจตมหายเหตุระหว่างประเทศ (ICA)
สภาการจตมหายเหตุระหว่างประเทศ ประจำภาคพื้นเอเชียอาคเนย์ (SARBICA)

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นิยามศัพท์จตมหายเหตุ

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บทที่ ๖

คุณภาพและมาตรฐานของหอจดหมายเหตุ

เอกสารจดหมายเหตุเป็นหลักฐานสำคัญที่มีคุณค่าอันแสดงถึงประวัติและพัฒนาการของหน่วยงานต่าง ๆ ซึ่งจัดเป็นมรดกทางวัฒนธรรมของชาติสำคัญประเภทหนึ่ง การจัดเก็บ สงวนรักษาเอกสารจดหมายเหตุที่ดีช่วยยืดอายุเอกสารให้ยาวนาน คงสภาพที่ดี หอจดหมายเหตุที่ดี มีคุณภาพและมาตรฐาน เป็นปัจจัยสำคัญยิ่งที่จะทำให้ภารกิจในการคุ้มครองเอกสารจดหมายเหตุประสบผลสำเร็จ

คุณภาพและมาตรฐานของหอจดหมายเหตุ

คุณภาพและมาตรฐานของหอจดหมายเหตุที่ดี ประกอบด้วย

๑. คุณค่าของเอกสาร (Value) ปริมาณ และคุณภาพ

๑.๑ เป็นเอกสารที่ได้รับจากหน่วยงานตามระเบียบราชการและระบบงานจดหมายเหตุ

๑.๒ เป็นเอกสารที่ได้รับการประเมินคุณค่า การจัดเก็บ การอนุรักษ์ตามกระบวนการของวิชาการจดหมายเหตุ โดยนักจดหมายเหตุที่ได้รับการศึกษาและฝึกอบรมอย่างมีประสิทธิภาพสูง

๑.๓ เป็นเอกสารที่ให้ข้อมูลในด้านการบริหารและการวางแผนงานแก่หน่วยงาน และเป็นข้อมูลทางการศึกษาวิจัยแก่สาธารณชน

๒. กระบวนการเก็บรักษา (Conservation)

สถานที่และการเก็บ

หอจดหมายเหตุแห่งชาติ มีอาคารที่เป็นลักษณะเฉพาะ สำหรับงานจดหมายเหตุแบ่งเป็นส่วนเก็บเอกสาร ส่วนสำนักงาน และส่วนบริการ ซึ่งต้องควบคุมอุณหภูมิ และความชื้นสัมพัทธ์ให้ถูกต้องตามเกณฑ์มาตรฐาน เพื่อรักษาเอกสารแต่ละประเภทให้คงสภาพดี มีอายุยาวนานที่สุด ดังตารางต่อไปนี้

Unit 6 Quality and Standards for Archival Repository

Archives are valuable evidence that convey the history and the development of different organisations and are also one of the nation's significant cultural heritages. Archives preservation can help maintaining the archives in a good condition and prolong their life. The high quality and standard archival repository is, thus, a crucial factor to ensure the success in archives protection and preservation.

Quality and Standards for Archival Repository

The Quality and Standards for Archival Repository consist of the following elements

1. Value, Volumes and Quality

1.1 The records are acquired from organisations in conformity with the regulations and archival procedure.

1.2 The records has been appraised, stored and preserved based on academic principles by the archivists with a wide range of expertise and experiences.

1.3 The records provide information in the administration and planning and can be used for research purpose among the public.

2. Conservation Procedure

Place and Methods of Conservation

The National Archives is a specially designed building for preserving archives. It is divided into the following sections: repository, administrative office and service provision section. The temperature and relative humidity must be regulated to meet the standards in order to retain the quality, maintain each record in a good condition and prolong its life according to the following tables.

ประเภทวัสดุของเอกสารจดหมายเหตุ	อุณหภูมิ	ความชื้นสัมพัทธ์
เอกสารลายลักษณ์อักษรตาม	๒๐°C	๕๕%
ภาพขาว - ดำ	๒๐°C	๓๕ - ๕๐%
ภาพสี	-๑๕°C	๒๕ - ๓๕%
ไมโครฟิล์ม	๒๐°C	<๕๐%
ฟิล์มไมเตรต	<๑๐°C	๓๐ - ๕๐%
ฟิล์มภาพยนตร์	๑๐°C	๕๐%
ดีสก์, เทป	๑๕°C	๓๕ - ๕๕%

อาคาร : หอจดหมายเหตุแบบให้สอดคล้องกับธรรมชาติ เป็นอาคารคอนกรีตเสริมเหล็กทั้ง เพื่อป้องกันภัย สามารถรับน้ำหนักเอกสารจากบนชั้นเก็บเอกสารที่วางบนรางเลื่อนเคลื่อนติดกันได้ทุกชั้นจะมีน้ำหนักเป็นเท่าของคานทุกชั้นเกิด

ส่วนเก็เอกสาร มีเนื้อหาน้อย ๖๐% ลักษณะเป็นหนังสือพิมพ์และคำขวัญ
ของแสงหรือธงระบอบอากาศ สนธิ ซึ่งมีรูปดูลึกลับเกี่ยวกับคุณหญิงและความรื่น
ในได้อากาไท่ทั้งที่ และป้องกันอัคคีภัย ส่วนเก็เอกสารประกอบด้วยศูนย์เก็บเอกสาร

ส่วนสำนักงาน มีเนื้อที่ประมาณ ๒๕% ประกอบด้วย หองแบบตึก ๓๓% หองไม้ ๖๖% และบ้านเดี่ยว ๑%

ส่วนบริการ มีเนื้อที่ประมาณ ๑๕% ประกอบด้วย ห้องคอมพิวเตอร์ ห้องน้ำ

คุณกัณฑ์วิไลทิพย์เกษม : เนื่องจากเอกสารทั้งหมดเขาพิมพ์หลายประเทศ หลายชาติ หลายรูปแบบ การออกแบบตัวพิมพ์ให้เข้ากับสิ่งที่จะวางออกมาอย่างสอดคล้อง ความเหมาะสมกับการออกแบบสเกลแต่ละประเทศ คุณพิมพ์ให้สะดวกในแง่ที่เราเอาไปใช้สะดวกบนคอมพิวเตอร์ เครื่องฟอกอากาศ เครื่องดับเพลิงจะประกอบยึดโน้ตให้ไว้

อีกที เครื่องควบคุมความชื้น เครื่องปรับอากาศ เครื่องดับเพลิงแบบเปลี่ยนน้ำมันจะประกอบบนหน้า ขึ้นเก็บเอกสารลายลักษณ์ประมาทขึ้นที่แผ่นที่แน่น แบบเปลี่ยนตู้และขึ้นเก็บฟิล์ม ภาพถ่าย ฟิโนแกรมเขต และไมโครฟิล์ม

มาตรฐานคุณวุฒิและวัสดุที่ใช้ในจดหมายเหตแห่งชาติ

ชั้นเก็บเอกสาร (Mobile shelving) เป็นชั้นที่วางบนรางเลื่อนเคลื่อนที่กันได้
ขนาดยาว ๕๐๐ - ๑๒๐๐ มิลลิเมตร สูง ๑๙๐๐ - ๒๑๐๐ มิลลิเมตร กว้าง ๒๕๐ มิลลิเมตร

ชั้นเก็บไมโครฟิล์ม (Mobile shelving) เป็นชั้นเหล็กวางเลื่อน ๑๓ ชั้น ขนาด ยาว ๔๒ เซนติเมตร สูง ๒๐๕ เซนติเมตร กว้าง ๘๖ เซนติเมตร

ตู้เก็บโครพิร์ เป็นตู้เหล็ก ๗ ลิ้นชัก ขนาด ยาว ๖๒ เซนติเมตร สูง ๑๓๓.๕ เซนติเมตร กว้าง ๔๔ เซนติเมตร

ดูเก็บพืชขนาด ๓๕ มิลลิเมตร เป็นตุ่มเล็ก ๑๗ ซม. ขนาด ยาว ๒๕ นิ้ว สูง ๕ นิ้ว กว้าง ๒๒ นิ้ว

๒๐ นิ้ว
 ๓ นิ้ว เป็นตุ๊กตา ๑๕ ชิ้น ขนาด ยาว ๒๕ นิ้ว สูง ๕๕ นิ้ว กว้าง ๕ นิ้ว

ดูเป็นแผนที่เป็นเหตุให้ลิ้งค์ ๑๖ ซึ่งขนาดยาว ๒๖ นิ้ว สูง ๔๕ นิ้ว กว้าง ๕๕ นิ้ว
 ฐานก็ทำเป็นลักษณะเป็นรูปสี่เหลี่ยมผืนผ้า ขนาดยาว ๑๖ นิ้ว สูง ๑๗ นิ้ว กว้าง ๑๗ นิ้ว

กล่องใส่เอกสารหมายเหตุ ยาว ๓๙๐ มิลลิเมตร สูง ๒๖๐ มิลลิเมตร กว้าง ๗๕ มิลลิเมตร

กล่องใส่เอกสารศูนย์เก็บเอกสาร ขนาดยาว ๑๖ นิ้ว ยาว ๑๖ นิ้ว กว้าง ๑๒ นิ้ว

กล่องใส่ภาพ ขนาดยาว ๑๘ นิ้ว สูง ๔.๖ นิ้ว กว้าง ๑๓ นิ้ว

การจัดทำสำเนาเอกสาร และการจัดเก็บไม่ใคร่ฟิล์ม

เอกสารจดหมายเหตุ เป็นเอกสารฉบับที่พิเศษค่าต่อการศึกษาค้นคว้าในทาง การจัดทำเอกสารจดหมายเหตุแบบไมโครฟิล์ม ช่วยลดความเสียหายจากภัยพิบัติต่าง ๆ ของเอกสารเป็นการอนุรักษ์ต้นฉบับโดยไมโครฟิล์มช่วยในไมโครฟิล์มช่วยประหยัดเนื้อที่ในการจัดเก็บ ส่วนการกำหนดมาตรฐานในการจัดทำ และส่งให้ออกจดหมายแห่งราชบัณฑิตยสถานเพื่อพิจารณายกรากข้อมูลให้คง

หอดูดาวแห่งชาติ ดำเนินการจัดทำเส้นทางวิวดูใหม่ เพื่อการอนุรักษ์
และใช้ เช่น ถ่ายภาพกล้องฟิล์มใหม่ การอวดขยายภาพจากฟิล์มกระจก
ยฟิล์มภาพยนตร์กำลังฟิล์มใหม่และแถบยี่ห้อที่เสียงก้องแถบยี่ห้อที่เสียงใหม่

Suitable Temperature and Relative Humidity		
Types of archives	Temperature	Relative Humidity
Textual records on papers	20 degree °C	55%
Black and white photos	20 degree °C	35-40%
Colour photos	-18 degree °C	25-35%
Microfilm's	20 degree °C	<40%
Nitrate Films	<10 degree °C	30-40%
Movie Films	10 degree °C	40%
Disquettes, tapes	18 degree °C	35-45%

Building: Archival repository is designed to be safe from natural disasters. It is built with concrete and is elevated high from the ground to prevent from flooding. The building can bear the weight of records on the side to side movable shelving. As a result, the record shelving has a double weight of the shelves in general.

At least 60% of space is used for archival storage. The room has two-layer wall and steel doors. It is dark and has no windows, light or ventilation. This is to control the temperature and relative humidity as well as to prevent from the fire. This section consists of records center (can be a separated building) and archives storage room.

25% of space is allocated for office uses, consisting of the officers' workspace, archives arrangement room, archives repairing room, microfilm room and dark room.

15% of space is used for providing services to the users. This includes research room, exhibition room, souvenir corners, meeting rooms, movie theatre and toilets.

Appropriate Durable Goods: Archives come in different sizes and forms. Therefore, the storage design for each type of archives needs to be carefully considered. The high standard durable goods are air conditioners, humidifiers, purifiers, automatic fire extinguishers containing chemical substance instead of water, as well as specifically designed shelving for maps, diagrams, plans, cabinets for films, photographs and microfilms.

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Durable goods used in the National Archives
<p>Movable Shelving: is the wheeled shelving that can be moved side to side to allow access for records search. Each mobile shelving has 900-1,200 mm length, 1,900-2,100 mm height and 250 mm width.</p> <p>Microfilm Shelving: is the movable wire racks, 13 stacks. Its size is generally 42 cm long, 205 cm high and 86 cm wide.</p> <p>Microfilm cabinet: is a steel cabinet with 7 drawers. Each cabinet is 62 cm long, 133.5 cm high and 54 cm wide.</p> <p>35-mm Film cabinet: is a steel cabinet with 17 sections. Each cabinet is 24 inches long, 51 inches high and 22 inches wide.</p> <p>3-inches Film cabinet: is a steel cabinet with 15 sections. Each cabinet is 24 inches long, 55 inches high and 20 inches wide.</p> <p>Map cabinet: is a 16-section cabinet with 36 inches cm in length, 45.5 inches height and 59 cm width.</p> <p>Movie film cabinet: is a 7-section cabinet with 12 inches in length, 77 inches height and 86 or 129 inches width.</p> <p>Archives box: has 390 mm length, 260 mm height and 175 mm width.</p> <p>Box used in Records Center: each box is 16 inches long, 16 inches high and 12 inches wide.</p> <p>Photo box: each box is 18 inches long, 4.6 inches high and 13 inches wide.</p>
Reproduction and Microfilm Storage
<p>Archives are the manuscripts valuable for research in different fields of studies. Preserving archives in microfilm can prevent loss from any possible disasters as well as save storage space. The officers can produce the surrogates for the users and the National Archives regional branch so that the users can have a wider access to resources.</p> <p>To preserve the original records, the National Archives reproduces the original records on different materials using several processes such as producing the old photos in the new films, compressed images from glass plate negatives, recording the old movie films in the new ones and recording the old voice tape records in the new ones.</p>

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การป้องกันโรคภัย

หอจดหมายเหตุแห่งชาติได้จัดทำแผนปฏิบัติงานเกี่ยวกับการรักษาความปลอดภัย แห่งชาติ พ.ศ. ๒๕๔๗ ในการรักษาความปลอดภัยเกี่ยวกับสถานที่ เช่น การจัดรักษาความปลอดภัยของเอกสารและวันหยุดราชการ การจัดทำบัตรแสดงเปลี่ยนเจ้าหน้าที่ ผู้มาติดต่อราชการ ฯลฯ ในส่วนความปลอดภัยเกี่ยวกับเอกสาร หอจดหมายเหตุแห่งชาติ มีระเบียบในการเข้าค้นคว้าและใช้เอกสาร เช่น ทำบัตรประจำตัวผู้ค้นคว้า การลงชื่อในสมุดผู้เข้าค้นคว้า การรับฝากสิ่งของก่อนเข้าห้องค้นคว้า ฯลฯ การตรวจความครบถ้วนของเอกสาร เมื่อผู้ค้นคว้าส่งคืนเอกสาร

การป้องกันอัคคีภัย

มีการฝึกซ้อมการปฏิบัติงานในเหตุการจำลองเมื่อเกิดอัคคีภัย วางแผนและ กำหนดแนวทางการป้องกัน รวมทั้งฝึกซ้อมอย่างสม่ำเสมอตามกำหนดเวลา เช่น จัดฝึกอบรม เจ้าหน้าที่ในการใช้เครื่องมือดับเพลิง กำหนดแผนและขั้นตอนการหนีภัยเอกสารระหว่าง การเกิดอัคคีภัย จัดทำรายชื่อผู้เกี่ยวข้องและหมายเลขโทรศัพท์ติดต่อในกรณีเกิดเหตุ จัดหาควมรู้และอุปกรณ์ป้องกันอัคคีภัยระบบต่างๆ ที่เหมาะสมกับอาคาร

๓. การประกันความมั่นคง (Prevention) เป็นการป้องกันเอกสารจาก ภัยอันตรายรูปแบบ ด้วยวิธีการดังนี้

๓.๑ วางระเบียบการรับมอบเอกสารอย่างมีระบบเพื่อป้องกันเอกสารสูญสิ้น หรือแตกกลุ่มระหว่างการขนย้ายเอกสารจากหน่วยงานภายนอกมายังหอจดหมายเหตุ แห่งชาติ และระหว่างหน่วยงานภายในหอจดหมายเหตุ

๓.๒ วางระเบียบการให้บริการเพื่อให้ผู้ค้นคว้าใช้เอกสารด้วยความระมัด ระวัง (Handling) และเจ้าหน้าที่ควบคุมดูแลความครบถ้วนของเอกสารทั้งก่อนและหลัง การให้บริการ รวมทั้งจัดการให้เอกสารของผู้ค้นคว้าอย่างใกล้ชิด

๓.๓ วางระเบียบปฏิบัติภายในหอจดหมายเหตุ

๓.๓.๑ การตรวจสอบเอกสารประจำปี เป็นการตรวจสอบความ ครบถ้วนและสภาพชำรุดของเอกสารแต่ละชุด กำหนดแผนแผนการอนุรักษ์เอกสาร ซึ่งได้แก่ การซ่อมการทำไมโครฟิล์ม และการอบเอกสารซ้ำ

๓.๓.๒ การควบคุมสภาพแวดล้อมภายในหอจดหมายเหตุให้อยู่ใน เกณฑ์มาตรฐานที่เกี่วกับการควบคุมอุณหภูมิความชื้น แสงสว่างและฝุ่นละออง

๓.๓.๓ การเลือกใช้วัสดุอุปกรณ์ที่เหมาะสมตามลักษณะและ ประเภทของเอกสาร

๔. การเฝ้าระวัง (Monitoring - Inspecting)

๔.๑ ให้มีการปฏิบัติงานระเบียบว่าด้วยการรักษาความปลอดภัยแห่งชาติ พ.ศ. ๒๕๔๗ อย่างเคร่งครัด

๔.๒ ให้มีแผนป้องกันอุบัติเหตุ โดยมีนโยบายและแผนการจัดการจัดการเมื่อต้องเผชิญภัยพิบัติต่างๆ ที่อาจเกิดขึ้นได้ในทุกระดับหรือบริบทไม่ให้ความเสี่ยงภัยและหรือ จุดอ่อนของสถานที่ตั้งและดำเนินการควบคุมหรือบรรเทาไม่ให้ความเสี่ยงภัยและหรือ และต่อหมั่นเฝ้าติดตามความเข้าใจและให้ความรู้แก่เจ้าหน้าที่ทุกคนเพื่อให้สามารถเผชิญภัยพิบัติที่อาจเกิดขึ้นได้อย่างมีสติ และมีประสิทธิภาพสูงสุด

๔.๓ ให้มีการตรวจสอบการดำเนินงานของเจ้าหน้าที่ทุกคน ให้ปฏิบัติงาน ตามที่ได้รับมอบหมายอย่างถูกต้องตามหลักวิชาการ

๕. การเผยแพร่

๕.๑ ปฏิบัติตามพระราชบัญญัติข้อมูลข่าวสารของราชการ พ.ศ. ๒๕๔๐

๕.๒ ปฏิบัติตามระเบียบว่าด้วยการรักษาความปลอดภัยแห่งชาติ พ.ศ. ๒๕๔๗

๖. การบริการระบบคอมพิวเตอร์

๖.๑ ระบบคอมพิวเตอร์

๖.๑.๑ การให้บริการสืบค้นด้วยระบบคอมพิวเตอร์

๖.๑.๒ การใช้เครื่องกวาดภาพ (Scanner) ในการให้บริการภาพถ่าย

๖.๒ การดูแลเอกสารของจดหมายเหตุ

๖.๒.๑ มีห้องบริการโดยเฉพาะตามประเภทของเอกสาร เป็นห้อง บริการที่ปลอดภัยไม่โปร่ง ถูกสุขอนามัย มีอุปกรณ์ที่เหมาะสมแก่การศึกษาเอกสารจดหมายเหตุ ที่ต้องใช้เวลาอ่าน และต้องการสมาธิอย่างมาก

๖.๒.๒ มีเครื่องมือช่วยค้นประเภทต่างๆ ตามมาตรฐาน (Finding Aids) เช่น บัญชีสำรวจเอกสาร สารบัญเอกสาร บัตรดัชนีต่าง

<p>Theft Protection</p> <p>The National Archives operates in conformity with the National Security Act B.E2517 (1974) for place security protection e.g. security during national holidays or after office hours, card exchange for visitors. The examples for records security includes implementing the access and use policy such as the user card, registration in the visitor book, bag deposit before going to the archival research room as well as check the records condition after returned by the users.</p> <p>Fire Protection</p> <p>Fire protection measures include the fire safety mock drill and frequent practices such as trainings on using fire extinguisher for the officers, the procedure for moving the records during the fire incidents, creating related name list and phone numbers in the emergency case and fining the durable goods and fire extinguishers appropriate for the building.</p> <p>3. Security Assurance (Prevention): is the process of protecting the records from any forms of dangers using the following methods:</p> <p>3.1 Devise a system for accessioning the records to prevent confusion or segregation during the transfer/delivery from other organisations to the National Archives and within the archives repository.</p> <p>3.2 Devise a system for providing service so that the users can search and handle the archives with care and the officials can monitor each archives condition before and after the service. This system can also enable the officials to closely monitor each user's search and access to the archives.</p> <p>3.3 Devise the regulations within the archives repository.</p> <p>3.3.1 Check the repository every year to inspect the condition or any defects of the archives and devise the preservation plan including fixing microfilm and fumigation again.</p> <p>3.3.2 Control the environment inside the archives repository to meet the regulatory standards including controlling the humidity, the light and dusts.</p>	<p>3.3.3 Select the durable goods that match the nature of each type of archives.</p> <p>4. Monitoring - Inspecting</p> <p>4.1 Ensure that National Security Act B.E2517 (1974) is strictly followed.</p> <p>4.2 Implement the accident protection plan by launching the policy and management plan when encountering the any forms of disasters that may possibly take place. This method emphasises on monitoring and controlling the risk or weakness of location and the possibility that the appraised records can increase in number later. Also, this includes the trainings to increase the understanding and knowledge of every officer to deal with any possible disasters most efficiently.</p> <p>4.3 Examine the performance of all employees to work well on the assigned tasks and in conformity with the academic framework.</p> <p>5. Knowledge Dissemination and Publication</p> <p>5.1 Must conform to the Official Information Act B.E. 2540 (1997)</p> <p>5.2 Must conform to the National Security Act B.E2517 (1974)</p> <p>6. Computer System Management</p> <p>6.1 Computer System</p> <p>6.1.1 Provide search service using the computer system</p> <p>6.1.2 Use scanners to provide photo service</p> <p>6.2 Reading Room</p> <p>6.2.1 There is a service room specifically configured to each type of records. The room is hygiene, light and airy, fully equipped with durable goods that can enable the users to spend a plenty of time doing the research on the archives.</p> <p>6.2.2 The room is equipped with high quality finding aids such as the inventory, the abstract, and the index card.</p>
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6.2.3 The finding aids, user registry, borrow form and photocopy form are available for providing research services.

6.2.4 Archivists are responsible for providing service, giving advice on the types of archival collections, explaining the finding aids, giving user guidance and recommending the particular records. Also, there are services such as microfilm reader machine and photocopy service.

6.2.5 Durable goods are available for research service. The examples are microfilm reader machine, tape recorder, slide projector, photocopy machine, temporary document shelving and the shelving that contains the inventory.

6.3 Photocopy

6.3.1. Photocopy service for every type of archives is available with affordable price.

6.3.2 Users are not allowed to take the original records out of the National Archives.

6.3.3 Personal portable photocopier is not allowed.

6.4 Questions and answers on archives can be reached via mailings and phone calls.

Quality Framework of the Organisation			
Academic Quality	Archival Preservation Quality	Marketing & Support Quality	Service Quality
<p>1. Archival materials are retained in a completion.</p> <p>2. Personnel in archives including archivists, archival staff, audio-visual officers, computer technical officers, photographers and records repairing officer repairmen receive training and are well-qualified.</p> <p>3. The proper standards of operation are ensured.</p> <p>4. Academic improvement opportunities such as trainings, meetings, seminars and discussion are provided for the internal employees and employees from other organisations.</p> <p>5. There is a manual on archives performance.</p> <p>6. The National Archives is a member of international archives organisation.</p>	<p>1. The building is specifically designed in accordance with the archival standard. The building can bear the weight of durable goods: 60% for records storage, 25% for office space and 15% for service provision. There is a temperature and relative humidity control system.</p> <p>2. The materials and durable goods ranging from the container boxes, shelves, air-conditioners, humidifiers, air purifiers and fire extinguishers are qualified and in good condition.</p> <p>3. There are appropriate methods for archives preservation.</p> <p>- Microfilming the original records for preserving.</p> <p>- Reparation of the original records using the high quality materials.</p> <p>4. The archivists conduct an annual repository check-up to ensure the archives are in a good condition and devise a preservation plan accordingly.</p> <p>5. There are security system and the rules that cover access policy, as well as photocopy.</p> <p>6. There is a plan of operation and management plan for any unforeseen emergency cases.</p>	<p>1. Frequently publicise and promote the archives initiatives by organising exhibitions, holding trainings, meetings and academic seminars on archives.</p> <p>2. Make use of different communication channels</p> <p>3. Publish abstract, a manual of the training on archives practices and the records of important events as well as launch a photo book</p> <p>4. Offer a tour visit to archives.</p>	<p>1. There are service rooms for each specific record: textual records, audio-visual records and etc.</p> <p>2. Appropriate tools are provided for archive research such as desks, chairs, temporary shelves, inventory shelves, index card shelves, microfilm reader machines, slide projectors, air-conditioners and lifts for delivery.</p> <p>3. There are different finding aids ranging from inventory, abstracts and index cards.</p> <p>4. The service is provided systematically via photocopy service registration, photocopy forms, etc.</p> <p>5. Photocopy services are available for every type of archives such as microfilm, video archival collections. The services are qualified, fast and affordable.</p> <p>6. Archivists are responsible for giving guidance on the types of archival collections, explaining the finding aids, recommending the archival collections and providing photocopy services. This is to ensure the fast service and high efficiency in the research.</p>

บทที่ ๗

การประกันคุณภาพงานจดหมายเหตุ

หอจดหมายเหตุแห่งชาติ เป็นสถาบันส่งเสริมสนับสนุนการทำนุบำรุงรักษาคิลปะ และวัฒนธรรมในระดับชาติ ซึ่งจำเป็นต้องดำเนินการตามหน้าที่สากล ๖ ประการ คือ การรวบรวมเอกสาร การวิเคราะห์จัดจำแนกเอกสาร การจัดทำบัญชีเอกสาร การสงวนรักษา เอกสาร การจัดแสดงและนำเสนอ และการบริการทางการศึกษา

การประกันคุณภาพงานจดหมายเหตุ

คุณภาพของงานจดหมายเหตุ หมายถึง รูปแบบการดำเนินงานที่เหมาะสม เป็นที่พึงพอใจแก่ผู้มาใช้บริการ จนเกิดความเข้าใจ ประทับใจ และตระหนักถึงประโยชน์และความสำคัญของงานจดหมายเหตุ พร้อมทั้งจะให้การสนับสนุนเพื่อสร้างสรรค์ สืบทอด และพัฒนางานให้ได้มาตรฐานที่ก้าวหน้า หรือเป็นไปตามมาตรฐานสากล

ในการประกันคุณภาพงานจดหมายเหตุ จำเป็นต้องมียุทธศาสตร์ประกอบ ดังนี้

๑. แผนงาน โครงการ และกิจกรรม ผู้ปฏิบัติงานจดหมายเหตุต้องกำหนด แผนงาน โครงการ และกิจกรรมให้ชัดเจน โดยจัดทำในรูปของเอกสารที่เป็นลายลักษณ์อักษร ตามมาตรฐาน ได้แก่

- ๑.๑ คู่มือการปฏิบัติงาน
- ๑.๒ คู่มือการชี้วัดคุณภาพและมาตรฐานการปฏิบัติงาน
- ๑.๓ แผนแม่บทพัฒนางานจดหมายเหตุ
- ๑.๓.๑ แผนระยะสั้น ๑ - ๒ ปี
- ๑.๓.๒ แผนระยะยาว ๓ - ๕ ปี

๑.๔ สื่อเผยแพร่ความรู้เรื่องจดหมายเหตุในรูปแบบของเอกสารและ เทคโนโลยีสมัยใหม่

๑.๕ ระบบฐานข้อมูลจดหมายเหตุที่ทันสมัยและเชื่อมโยงเป็นเครือข่าย เดียวกัน สามารถเรียกข้อมูลร่วมกันได้อย่างรวดเร็ว

นอกจากนี้ ผู้ปฏิบัติงานจดหมายเหตุยังต้องตรวจสอบและติดตามผลการทำงาน หรือผลกระทบที่อาจเกิดขึ้น มีการประเมินผลคุณภาพงาน ตลอดจนมีการ ดำเนินงานหรือผลกระทบที่อาจเกิดขึ้น

ทบทวนแผนงาน โครงการ และกิจกรรมให้ทันสมัย และปรับปรุงตรวจสอบ รูปแบบ การประเมิน เพื่อชี้แจงภาวะสถานภาพและผลผลิตของงาน อาจเป็นรายปี ๓ ปี หรือ ๕ ปี แล้วแต่กรณี พร้อมทั้งบันทึกสถิติการเปลี่ยนแปลงไว้เป็นหลักฐานในอนาคต

๒. การประเมินผล เนื่องจากการดำเนินงานด้านจดหมายเหตุมีลักษณะงาน ที่สำคัญงานหนึ่ง คือ งานด้านบริการ ซึ่งต้องมีการลงทุนดำเนินการเพื่อให้การดำเนินงานบรรลุเป้าหมายที่พึงประสงค์ และต้องมีการพัฒนาปรับปรุงกิจกรรมหมุนเวียนไปตามการเปลี่ยนแปลงด้านต่าง ๆ รวมทั้งมีการประเมินผลความสำเร็จในการดำเนินงาน

การประเมินผลความสำเร็จในการดำเนินงานทำได้ ๒ วิธี คือ

๑. การประเมินผลภายใน คือ การประเมินผลความสำเร็จในการดำเนินงาน ของบุคลากรในหน่วยงานประเมินผลการทำงานในรอบปี เป็นเครื่องมือที่ผู้บริหารสร้างขึ้น เพื่อสำรวจการดำเนินงานอย่างเป็นระบบ และใช้ผลการประเมินเป็นแนวทางในการ ปรับปรุงกิจกรรมในยอมรับผลชอบให้คุณภาพและได้มาตรฐาน เช่น

๑.๑ การปรับปรุงประสิทธิภาพของบุคลากรให้เข้าใจเทคนิควิธีการจัดการ เพื่อปฏิบัติงานให้ทันสมัย

๑.๒ การปรับปรุงระบบการส่งมอบการดำเนินงาน เพื่อสร้างขวัญและ กำลังใจแก่ผู้ปฏิบัติงาน

๑.๓ การปรับปรุงระบบการบริการ เพื่อให้งานเป็นประโยชน์ต่อสาธารณชน และสร้างความพึงพอใจแก่ผู้ใช้บริการ

๑.๔ การปรับปรุงแนวทางและมาตรการการดำเนินงาน เพื่อการวาง นโยบาย

๑.๕ การพัฒนาระบบการติดตามประเมินผล โดยจัดทำคุณภาพและ มาตรฐานให้เป็นระบบ เพื่อใช้ตรวจสอบการดำเนินงาน การวางแผนและพัฒนางานให้ ได้ประสิทธิภาพสูงสุด

๑.๖ การพัฒนาองค์ประกอบของอาคาร สถานที่ และกิจกรรม เพื่อสร้าง และจูงใจแก่ผู้ปฏิบัติงานและผู้ให้บริการ

๒. การประเมินผลจากภายนอก คือ การประเมินผลความสำเร็จในการดำเนินงาน จากบุคคลหรือหน่วยงานนอก เช่น บุคคล หน่วยงานที่มีติดต่อประสานงานในเรื่อง ที่เกี่ยวข้อง ทั้งนี้เพื่อใช้เป็นเครื่องมือวัดระดับความสำเร็จ เพื่อนำไปเปรียบเทียบกับ มาตรฐานการดำเนินงานที่ได้จัดทำไว้ โดยมีการสร้างกลไกหรือระบบการตรวจสอบ

<p>Unit 7 Quality Assurance for Archival Practices</p> <p>National Archives is an institute that fosters the national art and culture preservation. It has an obligation to fulfill the following 6 extensive roles: acquisition, arrangement, finding aids creation, archival preservation, exhibition and presentation as well as educational service provision.</p> <p>Quality Assurance for Archival Practices</p> <p>Quality of archival practices means the operating procedures that are appropriate and desirable to the users to the extent that it can increase satisfaction and enhance the awareness in the importance and values of archives. The high quality archives practices can lead to initiating, passing on and developing the work of archivists to meet the international standards.</p> <p>To assure the quality of archival practices, the key elements are:</p> <ol style="list-style-type: none"> 1. Planning, Projects and Activities: the archivists need to devise the planning, projects and activities in the written documents as follows. <ol style="list-style-type: none"> 1.1 Manual performance 1.2 Manual of quality and performance standard indicators. 1.3 Model scheme for archival practices development <ol style="list-style-type: none"> 1.3.1 Short term scheme: 1-2 years 1.3.2 Long term scheme: 3-5 years 1.4 Media for knowledge dissemination that are in the form of documents and modern technology 1.5 Modern and interconnected archives database that allow the information can be shared rapidly within the network <p>Moreover, the archivists and officers need to frequently inspect and monitor the performance results and predict the possible effects, as well as conducting an evaluation, the revision of the planning, projects and activities to be in a timely manner. They are also responsible for revising the assessment form every 3 to 5 years to identify the work condition and productivity on a case-to-case basis. Any changes in trend must also be recorded as the future evidence.</p> 	<p>2. Assessment: since service is one of the components of archival operation, the assessment on performance and achievement is, thus, an essential step. The effort on assessment is invested to ensure that the operation achieve the desirable goals so that the organisation can devise future development accordingly and revise the plan of action to better respond to the changes in trends.</p> <p>The assessment can be conducted in two means:</p> <ol style="list-style-type: none"> 1. Internal assessment: refers to the performance evaluation of the employees within the organisation conducted every year by the executive members of the organisation to monitor the operation and the current system. The assessment outcomes can be used as a tool to modify their plan of action to meet the standards. The examples of internal evaluation are as follow: <ol style="list-style-type: none"> 1.1 Improve the employees' efficiency and enhance their understanding in task management techniques. 1.2 Modify the system of maximising the operational efficiency to boost the morale of those who are responsible for archival tasks. 1.3 Adjust the service system to expand the advantages for the general public and increase satisfaction among the users. 1.4 Refine the guideline and action plan for making policies. 1.5 Improve the monitoring and assessment system by establishing the quality and standard system in the purpose of assessment, planning and maximising the efficiency. 1.6 Upgrade other components including the building, site and activities to strengthen the officials and employees as well as encourage more users. 2. External assessment: refers to the assessment from other organisations such as the visitors or the stakeholders who coordinate in regards to the relevant matters. The external assessment can serve to measure level of success by monitoring the progress in comparison with the devised standards and goal indicators. By establishing a mechanism for auditing internal organisations continuously, the performance assessment outcomes can be used for planning, monitoring the effects from the external organisations that participate, subsidise the activities, publish documents and abstracts, and organise academic seminars or exhibitions.
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ประเมินผลการดำเนินงานของหน่วยงานภายในอย่างต่อเนื่อง เพื่อนำผลมาใช้ในการปรับปรุง
สำหรับการวางแผน รวมทั้งการเฝ้าสังเกตผลกระทบที่หน่วยงานภายนอก เข้ามามี
ส่วนร่วมให้ความร่วมมือสนับสนุนในกิจกรรมต่างๆ เช่น การให้งบประมาณสนับสนุนใน
กิจกรรม การจัดพิมพ์เอกสาร การจัดทำสารบัญแบบ การสนับสนุนทางวิชาการ การจ
นันทนาการ ฯลฯ

ในการประเมินคุณภาพงานจดหมายเหตุโดยทั่วไป สามารถกำหนดหัวข้อเพื่อใช้
ในการประเมินคุณภาพ ดังนี้

๑. วัดประสิทธิผลและการปฏิบัติงานของจดหมายเหตุ เป็นที่พอใจของเจ้าหน้าที่ผู้
ปฏิบัติงานและผู้ใช้บริการ มากน้อยเพียงไร

๒. สภาพของอาคาร สถานที่ และภูมิทัศน์ให้ความรู้สึกต่อผู้ใช้บริการเช่นไร

๓. การให้บริการค้นคว้า การจัดนิทรรศการ มีจำนวนกี่ครั้งต่อปี และผู้มาชม
มีความประทับใจมากน้อยเพียงไร

๔. สื่อเผยแพร่ความรู้เกี่ยวกับเรื่องจดหมายเหตุ มีจำนวนกี่เรื่องต่อปี และ
ให้ประโยชน์ต่อผู้ได้รับมากน้อยเพียงไร

๕. ความกระตือรือร้นของบุคลากรด้านจดหมายเหตุ ในการให้บริการค้นคว้า
มีมากน้อยเพียงไร

๖. ความสัมพันธ์ระหว่างจดหมายเหตุกับผู้ใช้บริการ มีมากน้อยเพียงไร มีผู้
สนใจที่จะให้ความร่วมมือสนับสนุนกิจกรรมบ้างหรือไม่

๗. การบริหารและการจัดการภายในของจดหมายเหตุที่การบริหารงบประมาณ
บุคลากร วัสดุครุภัณฑ์ มีความพร้อมสมบูรณ์มากน้อยเพียงไรและให้ประโยชน์ สูงสุด
หรือไม่

๘. ภาพลักษณ์ของจดหมายเหตุในทัศนะของผู้ใช้บริการ เป็นอย่างไร เป็นที่
ยอมรับต่อสาธารณะชนมากน้อยเพียงไร

ผู้ประเมินผลภายนอก ประกอบด้วย
๑. ผู้ใช้บริการจดหมายเหตุ แสดงด้วย

๑.๑ การออกแบบประเมินผลซึ่งจดหมายเหตุจัดทำไว้ด้วยความคิดเห็น
สมมุติชน หรือการแสดงความคิดเห็นอื่น ๆ ผ่านทางจดหมาย หรือวาจา

๑.๒ สถิติจำนวนผู้ใช้บริการ

๑.๓ สถิติของเวลาที่ทำการค้นคว้าและปริมาณเอกสารที่ขอใช้ของแต่ละคน

๑.๔ สถิติหรือความหลากหลายของหัวข้อเรื่อง หรือชุดเอกสารที่มีผู้ใช้เรียกใช้ใน

รอบปี

๒. หน่วยงานต่างๆ แสดงด้วยการ

๒.๑ การให้ความร่วมมือ

๒.๒ การขอใช้บริการเอกสารในศูนย์กับเอกสาร และเอกสารจดหมายเหตุ
ต่างๆ เพื่อการปฏิบัติงานของหน่วยงานนั้นๆ

๒.๓ การแสดงความคิดเห็น โดยให้ข้อเสนอแนะอันเป็นประโยชน์ต่องาน
จดหมายเหตุ

๒.๔ ให้การสนับสนุนด้านงบประมาณ

๓. สื่อมวลชน แสดงด้วย

๓.๑ ข้อคิดเห็นในบทความ การอภิปราย ผ่านสื่อต่างๆ

๓.๒ การนำข้อมูลเอกสารจดหมายเหตุเผยแพร่ผ่านสื่อต่างๆ



<p>To assess the quality of archival tasks, the goal indicators are the following:</p> <ol style="list-style-type: none"> 1. How much do the National Archives officers and users understand the objectives and missions of the National Archives of Thailand? 2. How do the users find the National Archives building and landscape condition? 3. How many times do the reference services and exhibitions take place within a year? How satisfied are the visitors with the exhibitions? 4. How many publications on archives distributed within a year? How useful are the publications? 5. How much enthusiasm level do the National Archives officers have in reference services towards the users? 6. How is the relationship between the National Archives and its users as well as the willingness of user to participate in the activities? 7. How is the readiness of archives administration and management such as budget management, personnel management, durable goods condition, for efficiency maximisation? 8. How are the attitudes of the users and general public towards the image of the National Archives? <p>The external evaluators consist of</p> <ol style="list-style-type: none"> 1. Archives users are represented from: <ol style="list-style-type: none"> 1.1 The evaluation forms, suggestion box, visitor sign book or other opinions via mailing or verbal. 1.2 The user statistics 1.3 The statistics on search duration and volumes of records used by each user. 1.4 The diversity of subjects or collections that are requested and used in the whole year. 	228
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<ol style="list-style-type: none"> 2. Organisations are represented from: <ol style="list-style-type: none"> 2.1 Cooperation with the National Archives of Thailand 2.2 Requesting and using records from the Records Centre and archival collections from the repository 2.3 Useful suggestions to improve archival tasks 2.4 Financial support to the National Archives of Thailand 3. Media represented from: <ol style="list-style-type: none"> 3.1 Opinions appearing in the articles and discussion in different media channels. 3.2 Information from the archives collections publicised and disseminated via media. 	229
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นิยามศัพท์จดหมายเหตุ

หอจดหมายเหตุแห่งชาติ (National Archives)

คือ หน่วยงานที่มีหน้าที่รับผิดชอบเอกสารราชการที่มีคุณค่า ที่ส่วนราชการต่าง ๆ ส่งมอบให้ หอจดหมายเหตุแห่งชาติอาจมีฐานะเป็นหน่วยงานอิสระ หรือขึ้นอยู่กับส่วนราชการที่มีหน้าที่รับผิดชอบงานพัสดุ บุคลากร หรือการเงิน หรือขึ้นอยู่กับส่วนราชการที่มีหน้าที่รับผิดชอบงานที่เกี่ยวกับศิลปวัฒนธรรมก็ได้

หอจดหมายเหตุส่วนภูมิภาค (National Archives Branch)

คือหน่วยงานที่รับผิดชอบเอกสารที่มีคุณค่าที่ส่วนราชการต่าง ๆ ในส่วนภูมิภาค และท้องถิ่นส่งมอบให้ หอจดหมายเหตุส่วนภูมิภาคและท้องถิ่น อาจเป็นสาขาของหอจดหมายเหตุแห่งชาติ หรือขึ้นอยู่กับส่วนราชการ หรือองค์การบริหารส่วนภูมิภาคก็ได้

เอกสาร (Records)

ตามความหมายทางวิชาการจดหมายเหตุ คือ วัตถุอันเป็นหลักฐานแห่งความหมาย ไม่จำกัดรูปแบบ หน้าที่หน่วยงานของรัฐหรือสถาบันเอกชนได้จัดทำขึ้น หรือได้รับและเก็บรักษาไว้ในการปฏิบัติหน้าที่ตามที่กำหนดไว้ในกฎหมาย หรือในการประกอบธุรกิจ เอกสารที่ได้รับจากการแสวงหา การจัดทမ်း หรือไว้ในเพื่อการบริหารงานดังกล่าวข้างต้น สามารถจัดแบ่งประเภทตามระยะเวลาการใช้งาน ดังนี้ คือ

๑. เอกสารอยู่ระหว่างกระแสปฏิบัติงาน (Current Records)
๒. เอกสารอยู่ระหว่างกระแสปฏิบัติงาน (Semi - current Records)
๓. เอกสารลึกระแสปฏิบัติงาน (Non - current Records)
๔. เอกสารจดหมายเหตุ (Archives)

เอกสารจดหมายเหตุ (Archives)

เป็นเอกสารที่ต้องได้รับการจัดเก็บไว้อย่างถาวร ในหอจดหมายเหตุ เนื่องจากมีคุณค่าสมควรได้รับการจัดเก็บไว้เพื่อเป็นหลักฐานอ้างอิงการปฏิบัติงาน แสดงประวัติพัฒนาการดำเนินงานขององค์กร และเป็นข้อมูลชั้นต้น ประกอบการศึกษา ค้นคว้าวิจัย ประกอบด้วย

๒๓๕

๑. เอกสารลายลักษณ์อักษร (Textual Archives)

๒. เอกสารโสตทัศนจดหมายเหตุ (Audio - Visual Archives)

๓. เอกสารจดหมายเหตุประเภทภาพยนตร์ (Motion Picture/Moving Image)

เอกสารลายลักษณ์อักษร (Textual Archives)

คือเอกสารที่สื่อข้อความ เป็นลายลักษณ์อักษรไม่ว่าจะเขียนด้วยมือหรือพิมพ์ด้วยระบบพิมพ์ลงบนวัสดุรูปแบบต่าง ๆ เช่น ใบเอกสารตราหนังสือโต้ตอบ รายงาน การประชุม เป็นต้น

เอกสารโสตทัศนจดหมายเหตุ (Audio - Visual Archives)

คือ เอกสารประเภทภาพถ่าย ฟลิ้ม โปสเตอร์ บัตรอวยพร แผนที่ แผนผัง แบบบันทึกภาพ แบบบันทึกเสียง ฯลฯ

เอกสารจดหมายเหตุประเภทภาพยนตร์ (Motion Picture/Moving Image)

คือ ภาพเคลื่อนไหวที่ผลิตลงบนสื่อต่างๆ เช่น ฟลิ์มภาพยนตร์ แบบบันทึกภาพ วีดิทัศน์ ดีวีดี เป็นต้น

ไมโครฟลิ้ม (Microfilm)

คือ เอกสารที่ได้จากการถ่ายสำเนาย่อส่วนจากเอกสารต้นฉบับลงบนฟลิ้ม เพื่อการอนุรักษ์และการบริการ

ศูนย์เก็บเอกสาร (Records Center)

คือ หน่วยเก็บรักษาเอกสาร ๓ ประเภท คือ

๑. เอกสารเก่าเก็บเป็นเอกสารที่อยู่ระหว่างกระแสปฏิบัติงาน (Semi-current Records) เพื่อรอให้ครบอายุการเก็บ

๒. เอกสารลึกระแสปฏิบัติงาน เพื่อสงวนเป็นเอกสารจดหมายเหตุ

๓. เอกสารเพื่อรอคอยการทำลาย

การบริหารงานจดหมายเหตุ (Records Management)

คือ การปฏิบัติเกี่ยวกับเอกสารตั้งแต่เอกสารเกิดขึ้นจนถึงขั้นตอนการทำลายได้แก่ การจัดทำ (ผลิต) การรับ - ส่ง เก็บรักษา การยืม และการทำลาย

๒๓๕

A Glossary of Archival Terminology

The National Archives: is an organisation responsible for accessioning valuable public records transferred from government agencies. It can be either an independent organisation, a division of the department responsible for supply, personnel or finance, or it can be a division of art and culture department.

The National Archives Branch: is an organisation responsible for accessioning valuable public records transferred from regional and local government agencies. The National Archives Branch can be a part of the National Archives or is a division of regional administrative organisation.

Records: in the academic principles, the records are the objects that function as the evidence for meanings and can be in any forms. Records are created, received and preserved by either public or private organisations' operations for legal or business purposes. The documents for the aforementioned operations can be classified based on the duration of usage to the following category:

1. Current Records
2. Semi-current records
3. Non-current records
4. Archives

Archives: Archives are records permanently preserved in the archives repository. With their permanent values, archives deserve to be kept and are used as the evidence for referring to the organisational operation, showing the history of organisation and serving as the primary information for research purpose. Archives can be divided into 3 types:

1. Textual Archives
2. Audio-Visual Archives
3. Motion Pictures/ Moving Images

Textual Archives: are the records either handwritten or typed on different materials. Textual archives contain a large number of items including notices, official documents, correspondence and meeting reports.

Audio-Visual Archives: are records in the form of photos, films, cards, maps, diagrams, magnetic picture-recordings or audio recordings.

Motion Pictures/ Moving Images: are moving images produced on different media such as movie films, video tape recordings and CD.

Microfilm: contains the miniaturized images of pages from the original texts and printed on film sheets for preservation and service providing purposes.

Records Center: Records Center contains 3 types of records

1. Semi-current records are deposited until they reach the retention period
2. Non-current records – in order to be preserved as archives
3. Records waiting to be disposed

Records Management: is practice that involves all the stages of records life cycle including creating the records, acquiring and delivering, storing, borrowing and disposing the records.

ตารางกำหนดอายุเอกสาร (Retention Schedule)

หมายถึง คู่มือที่ใช้เป็นแนวทางในการปฏิบัติงานกับสายเอกสารที่ไม่มีคุณค่าอย่างถูกต้อง โดยกำหนดประเภทและอายุการเก็บเพื่อต่อนี้และอุปกรณ์ในการจัดเก็บที่จำเป็นต้องใช้ในการปฏิบัติงานเท่านั้น เพื่อให้มีหลักฐานเพียงพอประมาณ แบ่งบวการเจ้าหน้าที่ในการจัดเก็บและดูแลรักษาเอกสาร

เอกสารอยู่ระหว่างกระแสปฏิบัติงาน (Current Records)

เป็นเอกสารอยู่ระหว่างดำเนินการเรื่องนั้นๆ ซึ่งจำเป็นต้องเก็บรักษาไว้ ณ สำนักงาน

เอกสารอยู่ระหว่างกระแสปฏิบัติงาน (Semi - current Records)

คือ เอกสารที่การปฏิบัติงานในเรื่องนั้นๆ ได้เสร็จสิ้นสมบูรณ์แล้ว แต่ยังมีการเรียกใช้บางครั้ง เอกสารเหล่านี้ ควรได้รับการเคลื่อนย้ายจากสำนักงานไปจัดเก็บไว้ที่ศูนย์เอกสาร (Records Center) เพื่อรอส่งมอบเอกสารที่มีคุณค่าแก่ห้องจดหมายเหตุและทำลายเอกสารที่ไม่มีคุณค่า

เอกสารสิ้นกระแสปฏิบัติงาน (Non - current Records)

คือเอกสารที่สิ้นสุดการปฏิบัติงานแล้วไม่มีการเรียกใช้อีกต่อไปเอกสารที่มีคุณค่าจะได้รับการจัดเก็บเป็นเอกสารจดหมายเหตุ และทำลายเอกสารที่ไม่สำคัญ

การประเมินคุณค่าเอกสาร (Appraisal)

หมายถึง การพิจารณาคุณค่าเลือกเอกสารตามตารางกำหนดอายุการเก็บเอกสารของหน่วยงานหรือตามมติคณะกรรมการพิจารณาคุณค่าเอกสาร

การทำลายเอกสาร (Disposition)

คือ การปฏิบัติงานกับเอกสารที่สิ้นกระแสการปฏิบัติงานแล้ว และผ่านการประเมินคุณค่าเอกสารเบื้องต้นแล้วว่าเป็นเอกสารที่ไม่สำคัญ ได้แก่ การย่อยเอกสารและการขาย

การจัดหมวดหมู่เอกสาร (Arrangement and Description)

คือ ระบบการจัดเก็บเอกสารจดหมายเหตุ ซึ่งจัดตามหน่วยงานผู้ผลิตเอกสาร ซึ่งจะสะท้อนหน้าที่และกิจการของหน่วยงาน

๒๓๖

เครื่องมือช่วยค้นหาเอกสารจดหมายเหตุ (Finding Aids)

คือ เครื่องมือที่จัดทำขึ้นเพื่อเป็นหลักฐานความเอกสารจดหมายเหตุทั้งหมดที่อยู่ในเอกสารจดหมายเหตุ ช่วยให้ผู้ใช้ค้นคว้าเข้าถึงเอกสารจดหมายเหตุที่ต้องการ และเป็นประโยชน์สำหรับการจัดทำฐานข้อมูลระบบอัตโนมัติ มีหลายประเภท ได้แก่ บัญชีสารวเอกสาร คู่มือแนะนำเอกสาร สารบัญฉบับและดัชนี เป็นต้น

การซ่อมสงวนรักษาเอกสาร (Conservation and Preservation)

คือ กระบวนการในการป้องกันและรักษาเอกสารให้คงสภาพดี เพื่อให้เอกสารคงทน ไม่ชำรุด ยึดอายุเอกสารให้ยาวนาน

การบันทึกเหตุการณ์ (Contemporary Records)

เป็นการเข้าไปร่วมสังเกตการณ์ในทุกๆ เหตุการณ์ที่เกี่ยวข้องด้วยเรื่องที่จะบันทึกแล้วจดบันทึกข้อมูลโดยละเอียด ทุกแง่มุมรวมทั้งด้านการตั้งและพิธีการ การบันทึกภาพ บันทึกเสียง และการรวบรวมเอกสารต่างๆ ที่เกี่ยวข้องเพื่อเข้าไปเรียบเรียงเพื่อบันทึกเหตุการณ์สำคัญต่อไป

การประมวลเหตุการณ์สำคัญของชาติ

เป็นการรวบรวมข้อมูลเอกสารจากสื่อต่างๆ ที่ให้เนื้อหาและกระแสเหตุการณ์ที่ได้รับทราบประเมินแล้วว่ามีความสำคัญต่อประวัติศาสตร์ของชาติ และเป็นประโยชน์แก่ ผู้ค้นคว้า วิจัย ทั้งในด้านการเมือง เศรษฐกิจ และสังคม นำมาจัดทำเครื่องมือสืบค้นเพื่อใช้ในการให้บริการ

ต้นฉบับเหตุการณ์สำคัญ

เป็นการนำข้อมูลที่ได้จากการรวบรวมและจัดบันทึกไว้ในเรื่องนั้นๆ มาเรียบเรียงตรวจสอบความถูกต้อง บรรณาธิการต้นฉบับอย่างถูกต้องสมบูรณ์ เพื่อการจัดพิมพ์ เผยแพร่ต่อไป

ประวัติศาสตร์บอกเล่า (Oral History)

คือการสัมภาษณ์บุคคลร่วมสมัย หรือมีประสบการณ์มีส่วนร่วมในเหตุการณ์ ซึ่งเป็นข้อมูลที่มีคุณค่าทางประวัติศาสตร์ที่จะช่วยเสริมข้อมูลเอกสารประเภทลายลักษณ์อักษรให้สมบูรณ์ที่ขาดหายไปให้สมบูรณ์และชัดเจนยิ่งขึ้น

๒๓๗

<p>Records Retention Schedule: is a handbook for guidance on managing non valuable records disposal. The handbook defines different types of records and specifies the period that each current record should remain in the originating office. This is to save space, budget and necessary tools for retention by relieving the load of work for recordkeeping.</p> <p>Current Records: are the records that are regularly used for the current business of the organisation and continue to be retained within their place of origin.</p> <p>Semi-current Records: are the records used in the completed business but may be infrequently required. Semi-current Records should be transferred to the Records Center. Having reached the retention period, the valuable semi-current records are to be transferred to an archival repository while the valueless semi-current records will be pending for disposal.</p> <p>Non-current Records: are the records used in the previously completed tasks and are no longer required for current business. The valuable non-current records will be retained as archives while the insignificant non-current records will be disposed of.</p> <p>Appraisal: is the process of selecting records based on the retention schedule of the organisation or the approval of the records appraisal committee</p> <p>Disposition: is the action taken on non-current records appraised as insignificant. The disposal methods can range from shredding, burning to selling the selected records.</p> <p>Arrangement and Description: Records arrangement system is organised according to the creators. The system represents the role and activities of the creating organisation.</p>	236
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<p>Finding aids: are the tools that document and control all the archival in the archival repository. These tools assist the users to access to the targeted archival records conveniently and are used for creating the automatic database. Finding aids have different forms including inventory, special guide list, abstract and index.</p> <p>Conservation and Preservation: is the process to maintain the records in a good condition in order that the records are long lasting, not damaged and their life can be prolonged.</p> <p>Contemporary Records: is the process of observing all the related events prone to be recorded. It also includes noting down the details of all aspects starting from the position appointment, formal procedure, image and voice recording, as well as collecting related records and documents to arrange the drafts of Records of Important Events.</p> <p>The Compilation of Nation's Historical Events: is the process of collecting records from different media on the nation's historical events which are appraised to be valuable for national history as well as useful for the research purpose in the areas of politics, economics and society. The records will also be used to produce finding aids for the users.</p> <p>Original Texts from the Important Events: are the methods of gathering the information from collected records and arrange and edit the manuscript to completion for future publication and dissemination.</p> <p>Oral History: is the interview of a contemporary person who experienced or participated in the valuable historical events. With the historical value, the oral history can provide details and fill in the information gaps of the textual records.</p>	237
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การฝึกอบรมนักจดหมายเหตุ

๑. การอบรมทางทฤษฎี ระยะเวลา ๒ สัปดาห์ ประกอบด้วย

- การจัดหลักสูตร บรรยาย และวิทยาการ
- การจัดทำคู่มือประกอบการบรรยาย

๒. การฝึกปฏิบัติ ระยะเวลา ๑ เดือน

- การลงมือปฏิบัติงานกับเอกสาร
- การทดสอบความรู้ด้วยข้อเขียน

๓. การประเมินผล

- ผู้รับการอบรมทำรายงานวิชาการจดหมายเหตุ ๑ เรื่อง
- ตั้งคณะกรรมการผู้ทรงคุณวุฒิด้านจดหมายเหตุติดตาม และ ประเมินผลเป็นประจำ

ภายหลังการฝึกอบรม คณะกรรมการจะตรวจสอบ แนะนำและติดตามผล การปฏิบัติงาน โดยใช้ความรู้ที่ได้รับมาเป็นระยะ ภายใน ๖ เดือน หากผลงานไม่ผ่าน การประเมินของคณะกรรมการฯ จะต้องกลับเข้ามารับการฝึกอบรมใหม่ และน่าจะมีผล ต่อการพิจารณาความชอบด้วย



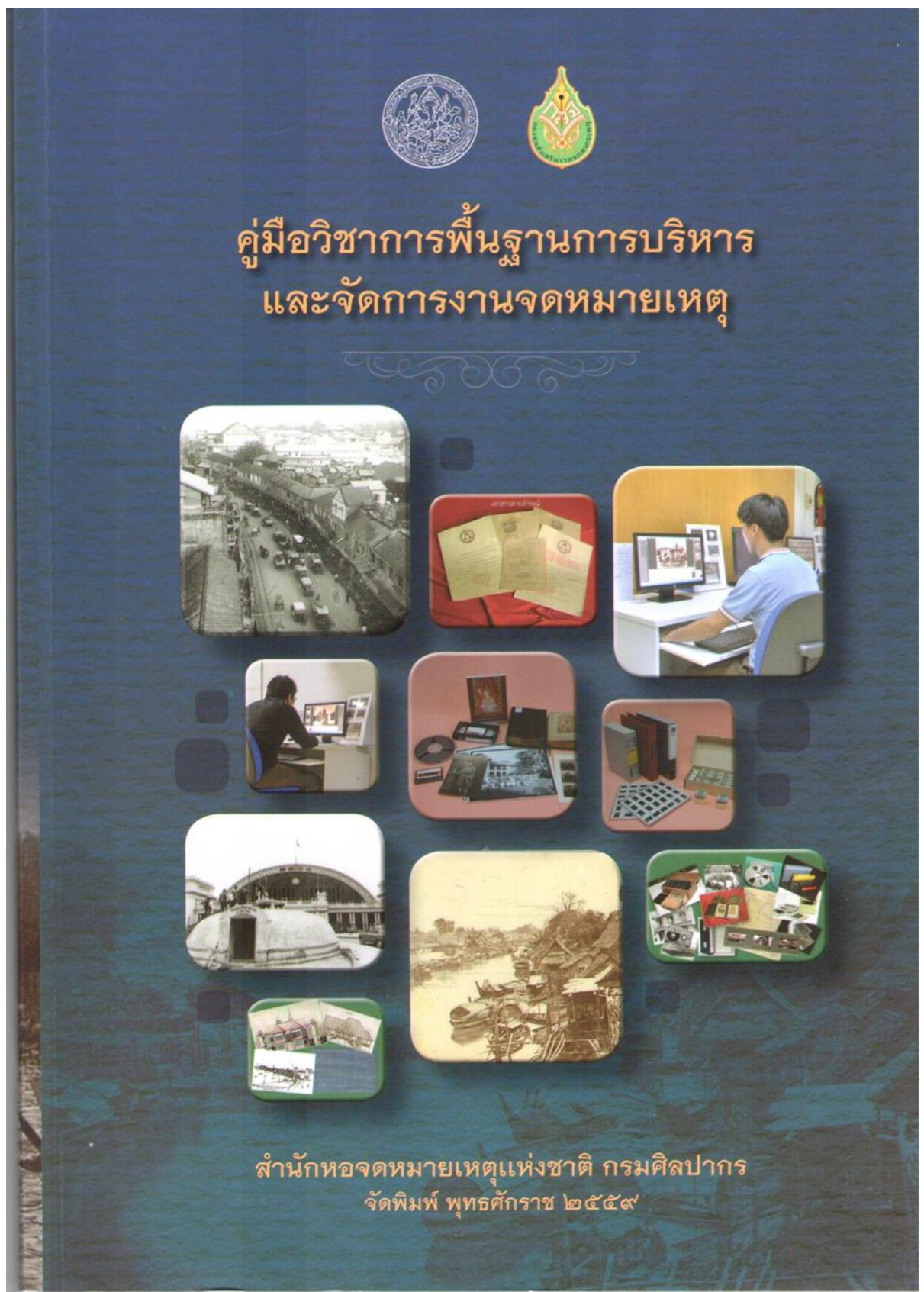
Development and training for personnel in archives

1. 2-week lecture sessions on the theory: consisting of
 - Course design and lecture delivered by guest speakers
 - Course materials and handbook
2. 1-month practice
 - Performing the archival practices on archival documents
 - Written examination
3. Evaluation
 - The participants conduct one academic report on archives
 - Frequent monitoring and evaluation by the designated archives advisory committee

After the training, the committee will examine, advise and monitor the performance and knowledge application of each participants within the 6 month period. If a person does not pass the evaluation, one needs to repeat the training and this can affect performance appraisal as well.

Appendix 11

Handbook of Basic Principles of Archives Management คู่มือวิชาการพื้นฐานการ
บริหารและจัดการงานจดหมายเหตุ (The National Archives of Thailand, 2016) English
version by the author of this thesis, Pimphot Seelakate.



Handbook of Basic Principles of Archives Management

The National Archives of Thailand, Fine Arts Department

Published in B.E. 2559 (2016)



คู่มือวิชาการพื้นฐานการบริหาร และจัดการงานจดหมายเหตุ

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คณะที่ปรึกษา

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นายพีรพน พิสนพงศ์

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นางสาวนัยนา แยมสาขา

อธิบดีกรมศิลปากร

รองอธิบดีกรมศิลปากร

นักอักษรศาสตร์ทรงคุณวุฒิ

ผู้อำนวยการสำนักหอจดหมายเหตุแห่งชาติ

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นางกมลชนก ขวนะเกรียงไกร

นางสาวสาคร พิพนนอก

นางสาววรรณุช วิณะสนธิ

นักจดหมายเหตุชำนาญการพิเศษ

นักจดหมายเหตุชำนาญการพิเศษ

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นักจดหมายเหตุชำนาญการ

นักจดหมายเหตุชำนาญการ

นักจดหมายเหตุชำนาญการ

นักจดหมายเหตุชำนาญการ

นักวิชาการโสตทัศนศึกษาชำนาญการ

ศิลปกรรม

นายบันลือ กุณรักษ์

นักวิชาการช่างศิลป์ชำนาญการ

ภาพประกอบ

สำนักหอจดหมายเหตุแห่งชาติ

พิมพ์ที่

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คำนำ



กรมศิลปากร สำนักหอจดหมายเหตุแห่งชาติ จัดพิมพ์คู่มือวิชาการพื้นฐานการบริหารและจัดการงานจดหมายเหตุนี้เป็นครั้งที่ ๒ โดยมีจุดมุ่งหมายเพื่อเผยแพร่ความรู้ทางวิชาการด้านการบริหารและจัดการงานจดหมายเหตุให้เป็นที่รับรู้อย่างกว้างขวาง ทั้งในหน่วยงานจดหมายเหตุ ผู้ที่ปฏิบัติงานหรือผู้ที่เกี่ยวข้องกับงานบริหารเอกสาร รวมทั้งผู้ที่ศึกษาเรื่องนี้ ให้สามารถนำความรู้วิชาการจดหมายเหตุที่ถูกต้องตามมาตรฐานงานจดหมายเหตุไปปรับใช้หรือศึกษา ค้นคว้าวิจัยตามความเหมาะสมของเป้าหมายของตน

เอกสารจดหมายเหตุเป็นเอกสารที่เกิดจากการดำเนินงานของหน่วยงานหรือภารกิจของบุคคลสำคัญที่เกิดขึ้นในแต่ละช่วงเวลา หอจดหมายเหตุแห่งชาติรับผิดชอบประเมินคุณค่า จัดหมวดหมู่ ทำเครื่องมือช่วยค้น และอนุรักษ์เอกสารจดหมายเหตุไว้เพื่อประโยชน์ในการอ้างอิง ค้นคว้าวิจัย การบริหารจัดการงานจดหมายเหตุให้มีประสิทธิภาพจึงเป็นเรื่องสำคัญและจำเป็นอย่างยิ่ง กฎหมายและระเบียบที่เกี่ยวข้องเป็นเครื่องมือที่ช่วยให้การบริหารงานจดหมายเหตุมีประสิทธิภาพ และเกิดประโยชน์สูงสุด คุณสมบัติที่ดีของนักจดหมายเหตุเป็นสิ่งสำคัญที่ใช้เป็นเกณฑ์กำหนดผู้ปฏิบัติงานเช่นกัน ดังนั้นทรัพยากรสำคัญต่างๆ ที่จำเป็นต้องงานจดหมายเหตุ ตลอดจนเครือข่ายจดหมายเหตุทั้งภายในประเทศและต่างประเทศ ล้วนแล้วแต่เป็นองค์ประกอบสำคัญที่จำเป็นอย่างยิ่งต่องานจดหมายเหตุ

หนังสือวิชาการเล่มนี้มีเนื้อหาครอบคลุมบทบาทของงานจดหมายเหตุ ความหมายงานจดหมายเหตุ นักจดหมายเหตุ และผู้ปฏิบัติงานที่เกี่ยวข้องกับงานจดหมายเหตุ ประเภทของเอกสารจดหมายเหตุ การจัดเก็บ และสงวนรักษาเอกสารจดหมายเหตุ การให้บริการค้นคว้าวิจัยเอกสารจดหมายเหตุ รวมทั้งการนำเทคโนโลยีสารสนเทศมาใช้ในการอนุรักษ์และให้บริการสืบค้นเอกสารจดหมายเหตุ

กรมศิลปากร สำนักหอจดหมายเหตุแห่งชาติ หวังเป็นอย่างยิ่งว่าหนังสือวิชาการพื้นฐานการบริหารและการจัดการงานจดหมายเหตุเล่มนี้ จะเป็นเครื่องมือสำคัญที่ช่วยให้ผู้ปฏิบัติงานจดหมายเหตุ และผู้ปฏิบัติงานที่เกี่ยวข้องกับงานเอกสารและการบริหารงานเอกสารจดหมายเหตุสามารถเรียนรู้ และนำความรู้ที่ปรากฏไปใช้ได้อย่างเข้าใจ ถูกต้อง ตรงตามวัตถุประสงค์ ซึ่งจะส่งผลให้การบริหารและจัดการงานจดหมายเหตุของประเทศไทยเข้มแข็ง เป็นไปในทิศทางเดียวกัน และบรรลุวัตถุประสงค์ในการรักษาข้อมูลสำคัญทางประวัติศาสตร์ของชาติไว้ตลอดไป

(นายบรรเวท รุ่งรุจี)

อธิบดีกรมศิลปากร

Foreword

The National Archives, the Fine Arts Department published the Handbook of Principles of Archives Management for the second time. Our objectives are to disseminate knowledge on archives management in order to increase the understanding among the archival institutions, practitioners, records professionals, and students so they can apply and learn about the archival principles.

Archives are the records that serve as the evidence of organisational operation or the missions of important individuals in each time period. The National Archives is responsible for appraising, arranging, creating finding aids and preserving the archives for the reference and research purposes. The efficient archives management is, thus, crucial and necessary. Laws and relevant regulations are the tools that enable the efficiency and maximisation in archives management. Similarly, the qualifications of archivists are also the key to set the standards of officers. Altogether, key resources as well as the domestic and international archival networks are the significant components for the practices of archivists.

This academic handbook covers the role of archival practices including a glossary of archival terminology, archivists and archival professionals, types of archival records, preservation, archival reference services and the adoption of modern technology for archival search and preservation.

The National Archives, the Fine Arts Department hopes that this Handbook of Principles of Archives Management will be beneficial tool for both archival professionals and the officers in charge of records and archives management. The reader can learn and adopt the knowledge appropriately in order to meet the goals, to strengthen Thailand's archives management in the same direction and to preserve the nation's historical records for the lifetime.

Mr. Borvornwate Rungrujee
Director General, the Fine Arts Department

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บทที่



บุคลากรและวิชาชีพ จดหมายเหตุ

บุคลากรด้านจดหมายเหตุหรือนักจดหมายเหตุ คือ ผู้ที่มีหน้าที่แสวงหา รวบรวม ประเมินคุณค่า จัดเก็บ สงวนรักษา และให้บริการเผยแพร่ข้อมูลเอกสารจดหมายเหตุ เพื่อให้เอกสารนั้นเป็นจดหมายเหตุที่มีคุณค่าและถือเป็นทรัพย์สินทางปัญญาที่เป็นมรดกทางวัฒนธรรมของชาติ ดังนั้นบุคลากรผู้ปฏิบัติงานในหอจดหมายเหตุแห่งชาติ จะต้องเป็นผู้ที่มีความรู้ความเข้าใจ ความสามารถ และความชำนาญในกระบวนการดำเนินงานจดหมายเหตุ ซึ่งมีหลักวิชาการเฉพาะเป็นอย่างดี เพื่อให้การปฏิบัติงานเป็นไปได้อย่างถูกต้องและมีประสิทธิภาพ เหมาะสมกับหน้าที่ผู้ดูแลคุ้มครองเอกสารสำคัญที่แสดงถึงภูมิปัญญาของชาติ เพื่ออนุชนรุ่นหลังต่อไป

บุคลากรด้านจดหมายเหตุ แบ่งออกเป็น ๓ ระดับ ดังนี้

๑. ระดับผู้บริหาร (management level) ควรมีคุณวุฒิระดับปริญญาโทด้านการจัดการจดหมายเหตุ และมีประสบการณ์ทำงานในระดับวิชาชีพมาก่อน ระดับนี้จะรับผิดชอบเรื่องการวางนโยบาย การวางแผนกลยุทธ์ และการพัฒนาระบบงานภายในหอจดหมายเหตุ

๒. ระดับวิชาชีพ (professional level) ควรมีคุณวุฒิระดับปริญญาโทด้านการจัดการจดหมายเหตุ แต่ยังไม่มีความชำนาญ ระดับนี้จะรับผิดชอบเรื่องการกำหนดขั้นตอนการทำงานในหอจดหมายเหตุด้านต่างๆ ตั้งแต่ เอกสารถือกำเนิดจนถึงการให้บริการ (from records are created to access to archives)

๓. ระดับปฏิบัติการ (para professional) ควรมีคุณวุฒิระดับปริญญาตรีสาขาใดก็ได้ แต่ได้รับการฝึกฝนทางเทคนิคให้สามารถทำงานในหอจดหมายเหตุดูแลงานเฉพาะหน้าที่ตนเองถนัด

บุคลากรที่ปฏิบัติงานวิชาการด้านจดหมายเหตุของหอจดหมายเหตุแห่งชาติ จำแนกตามลักษณะงานได้ ๓ กลุ่มได้แก่

กลุ่มวิชาชีพจดหมายเหตุ ประกอบด้วยบุคลากรตำแหน่งนักจดหมายเหตุ และนักวิชาการโสตทัศนศึกษา

กลุ่มสนับสนุนวิชาชีพจดหมายเหตุ ประกอบด้วยบุคลากรตำแหน่งนักวิชาการคอมพิวเตอร์ เจ้าหน้าที่งานจดหมายเหตุ เจ้าหน้าที่งานโสตทัศนศึกษา ช่างภาพ และพนักงานซ่อมเอกสาร

กลุ่มสนับสนุนการดำเนินงานทั่วไป ประกอบด้วยบุคลากรตำแหน่งนักการจัดการทั่วไป เจ้าหน้าที่งานธุรการ ช่างไฟฟ้า

อัตราค่าจ้างหรือจำนวนของบุคลากร แต่ละตำแหน่งของหอจดหมายเหตุขึ้นอยู่กับขนาดของหอจดหมายเหตุ งบประมาณ และภารกิจหน้าที่ของหน่วยงานนั้นๆ

* Cook, Michael. Guidelines for curriculum development in records management and the administration of modern archives: a RAMP study (PGI-82/WS/16) Paris, Unesco, 1982.P.28

คุณสมบัติพื้นฐาน

เนื่องจากประเทศไทยยังไม่มีหลักสูตรเป็นการเฉพาะในการผลิตบุคลากรด้านจดหมายเหตุเพื่อปฏิบัติงานตามหลักวิชาการจดหมายเหตุ แม้ในปัจจุบันจะมีหลักสูตรด้านจดหมายเหตุในระดับปริญญาโท แต่มีผู้สำเร็จการศึกษาในวิชาชีพจดหมายเหตุน้อยมาก หอจดหมายเหตุแห่งชาติจึงจำเป็นต้องกำหนดคุณสมบัติพื้นฐานของผู้ที่จะเข้ามาปฏิบัติงานในด้านนี้ไว้อย่างกว้างๆ โดยระบุสาขาวิชาที่สามารถจะปรับความรู้และเพิ่มพูนประสบการณ์ให้เข้ากับหน้าที่ในตำแหน่งต่างๆ ไว้ดังนี้

๑. นักจดหมายเหตุ

วุฒิไม่ต่ำกว่าปริญญาตรีหรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกัน ในสาขาวิชาประวัติศาสตร์ ภาษาวรรณคดี โบราณคดี สาขาวิชาหนึ่งหรือหลายสาขาดังกล่าว หรือสาขาวิชาอื่นที่ ก.พ.กำหนดว่าใช้เป็นคุณสมบัติเฉพาะสำหรับตำแหน่งนี้ได้

๒. เจ้าพนักงานจดหมายเหตุ

ได้รับประกาศนียบัตรวิชาชีพเทคนิคหรือประกาศนียบัตรวิชาชีพชั้นสูง หรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกันหรือสาขาวิชาที่ส่วนราชการเจ้าสังกัดเห็นว่ามีความเหมาะสมกับหน้าที่ ความรับผิดชอบ และลักษณะงานที่ปฏิบัติ หรือคุณวุฒิอย่างอื่นที่ ก.พ. กำหนดว่าใช้เป็นคุณสมบัติเฉพาะสำหรับตำแหน่งนี้ได้

๓. นักวิชาการโสตทัศนศึกษา

วุฒิไม่ต่ำกว่าปริญญาตรีหรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกันในสาขาวิชาใดวิชาหนึ่งทางโสตทัศนศึกษา ทางเทคโนโลยีการศึกษา ทางเทคโนโลยีและสื่อสารการศึกษา ทางเทคโนโลยีและนวัตกรรมการศึกษา ทางครุศาสตร์เทคโนโลยี ทางเวชนิทัศน์หรือสาขาวิชาอื่นที่ ก.พ. กำหนดว่าใช้เป็นคุณสมบัติเฉพาะสำหรับตำแหน่งนี้ได้

๔. เจ้าพนักงานโสตทัศนศึกษา

วุฒิไม่ต่ำกว่าประกาศนียบัตรวิชาชีพ ทางเทคนิคหรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกันทางเทคนิคหรือสาขาวิชาที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบหรือลักษณะงานที่ปฏิบัติ หรือคุณวุฒิอย่างอื่นที่ ก.พ.กำหนดว่าใช้เป็นคุณสมบัติเฉพาะตำแหน่งนี้ได้

๕. นักวิชาการช่างศิลป์

วุฒิไม่ต่ำกว่าปริญญาตรีหรือคุณวุฒิอื่นที่เทียบได้ในระดับเดียวกันในสาขาวิชาจิตรศิลป์ ประยุกต์ศิลป์ สถาปัตยกรรมศาสตร์ สาขาหนึ่งหรือหลายสาขาดังกล่าว หรือที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติ หรือคุณวุฒิอื่นที่ ก.พ.กำหนดว่าใช้เป็นคุณสมบัติเฉพาะตำแหน่งนี้ได้

๖. นักวิชาการคอมพิวเตอร์

ได้รับปริญญาตรีหรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกันในสาขาวิชา ทางคอมพิวเตอร์ หรือคุณวุฒิอย่างอื่นที่ ก.พ.กำหนดให้ใช้เป็นคุณสมบัติเฉพาะตำแหน่งนี้ได้

Unit 4 Personnel and Profession in Archives

Personnel in archives or archivists are in charge of seeking, collecting, appraising, conserving and providing archives service to maintain these records as the valuable archives and intellectual properties particularly, as the nation's cultural heritage. As a result, the personnel working in the National Archives must possess knowledge and understanding as well as the ability and proficiency in archives operation. Moreover, those in charge of managing archives require specific academic theory so as to ensure the accurate and efficient operation, appropriate for their role as the protector of the significant documents that reflect the wisdom of the nation for the next generation in the future.

The personnel in archives can be divided into 3 levels*

1. **Management level:** shall obtain a master's degree in archives management and have prior professional experiences. The personnel at this level are responsible for setting the policy, planning strategies and developing the internal system within the archives repository.
2. **Professional level:** shall possess a master's degree in archives management but may have limited professional experiences. The personnel at this level are responsible for setting different procedures of archives operation ranging from the creation of records to the archives service provision.
3. **Practitioner level:** shall have a bachelor's degree in any fields but receive technical trainings so that they have developed expertise in one of the duties for archives operation.

The personnel in archives can be classified based on the job descriptions into the following 3 groups:

- Archives profession: consists of archivists and audio-visual technical officer.
- Archives support profession: consists of computer technical officer, assistant archivist officer, audio-visual officer, photographer and records repairman.
- General operation support profession: consists of general manager, clerical officer and electrical technician.

The workforce or the quantity of personnel in the archives repository depends of the size of the archives repository, the budget and the mission of the organisation.

*Cook, Michael. Guidelines for curriculum development in records management and the administration of modern archives: a RAMP study (P-GI-82/WS/16) Paris, Unesco, 1982.P.28

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Fundamental Qualifications

At present, there is no curriculum in Thailand that is specifically designed for producing personnel in archivists. Although some master's degrees offer the curriculum in archives, there are only a few graduates in archives studies in Thailand. As a consequence, it is necessary that the National Archives of Thailand have broad fundamental qualifications for the personnel in archives including the relevant field of studies that can be enhanced in both knowledge and experiences, to carry out the role and duties in archives. The fundamental qualifications for the personnel in archives are as follow:

1. **Archivist:** must obtain at least a bachelor's degree or other equivalent credentials in History, Literature, Archeology or other fields of studies determined by the Civil Service Commission as a qualification requirement for such position.
2. **Assistant Archivist Officer:** must obtain either Technical Certificate or High Vocational Certificate, or its equivalent credentials or other field of studies that the organization sees as suitable for the duties and job description, as well as other academic degrees determined by the Civil Service Commission as a qualification requirement for such position.
3. **Audio-Visual Technical Officer:** must obtain at least a bachelor's degree or other equivalent credentials in Audio-Visual education, Educational Technology, Educational Technology and Communication, Educational Technology and Innovation, Technological Education, Audio Visual Technology or other fields of studies determined by the Civil Service Commission as a qualification requirement for such position.
4. **Audio-Visual Officer:** must obtain either Technical Certificate or High Vocational Certificate, other equivalent credentials or other field of studies that the organization sees as suitable for the duties and job description, as well as other credentials determined by the Civil Service Commission as a qualification requirement for such position.
5. **Academic Artist:** must obtain at least a bachelor's degree or other equivalent credentials in Fine Arts, Applied Arts, Architecture or other field of studies that the organization sees as suitable for the duties and job description, as well as other credentials determined by the Civil Service Commission as a qualification requirement for such position.
6. **Computer Technical Officer:** must obtain at least a bachelor's degree or other equivalent credentials in Computer or other credentials determined by the Civil Service Commission as a qualification requirement for such position.

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๗. นายช่างภาพ

ได้รับประกาศนียบัตรวิชาชีพ เทคนิค ประกาศนียบัตรวิชาชีพชั้นสูงหรือคุณวุฒิอื่นที่เทียบได้ในระดับเดียวกัน หรือสาขาวิชาที่ส่วนราชการเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบ และลักษณะงานที่ปฏิบัติ หรือคุณวุฒิอื่นที่ ก.พ. กำหนดว่าเป็นคุณสมบัติเฉพาะสำหรับตำแหน่งนี้ได้

๘. นายช่างไฟฟ้า

วุฒิไม่ต่ำกว่าประกาศนียบัตรวิชาชีพ เทคนิคหรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกัน ในสาขาวิชาไฟฟ้าและอิเล็กทรอนิกส์ วิชาเทคนิควิศวกรรมไฟฟ้า สาขาวิชาเทคนิควิศวกรรมอิเล็กทรอนิกส์ สาขาวิชาใดวิชาหนึ่งดังกล่าว ที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติ หรือสาขาวิชาอื่นที่ ก.พ. กำหนดว่าเป็นคุณสมบัติเฉพาะสำหรับตำแหน่งนี้ได้

๙. นักจัดการงานทั่วไป

วุฒิไม่ต่ำกว่าปริญญาตรี หรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกัน สาขาวิชาที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติ หรือคุณวุฒิอย่างอื่นที่ ก.พ. กำหนดให้ใช้เป็นคุณสมบัติเฉพาะ สำหรับตำแหน่งนี้ได้

๑๐. เจ้าพนักงานธุรการ

วุฒิไม่ต่ำกว่าประกาศนียบัตรวิชาชีพ ทางพาณิชยการ เทคนิค หรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกัน ในสาขาวิชาที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติ หรือคุณวุฒิอย่างอื่นที่ ก.พ. กำหนดให้ใช้เป็นคุณสมบัติเฉพาะ สำหรับตำแหน่งนี้ได้

๑๑. พนักงานซ่อมเอกสาร

วุฒิไม่ต่ำกว่าประกาศนียบัตรวิชาชีพทางเทคนิคหรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกันทางเทคนิคหรือสาขาวิชาที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสม

มีความสามารถและเหมาะสมในการปฏิบัติงานในหน้าที่ แต่เดิมรับบุคคลที่มีความรู้ระดับมัธยมศึกษาตอนต้นและมีมัธยมศึกษาตอนปลายเพื่อบรรจุเป็นลูกจ้างประจำ ตำแหน่งพนักงานซ่อมเอกสาร โดยบุคลากรจะเรียนรู้และพัฒนาทักษะในการซ่อมเอกสารจนมีความชำนาญในการปฏิบัติ

การซ่อมเอกสาร คือการซ่อม สAWN รักษา และอนุรักษ์เอกสารที่มีระบบ ขั้นตอน วิธีการ เป็นแบบแผนเฉพาะเพื่อป้องกันและรักษาเอกสารให้มีอายุยืนยาวที่สุด ในอนาคตหากบุคลากรลูกจ้างประจำเกษียณอายุแล้วสมควรจะให้เจ้าพนักงานจดหมายเหตุปฏิบัติหน้าที่นี้แทน

รายละเอียดหน้าที่ในการปฏิบัติงานแต่ละตำแหน่ง

รายละเอียดหน้าที่ในการปฏิบัติงานแต่ละตำแหน่ง (Job description) ของบุคลากรตำแหน่งต่างๆ ในหอจดหมายเหตุแห่งชาติ มีดังนี้

๑. นักจดหมายเหตุ

นักจดหมายเหตุ ระดับปฏิบัติการ

หน้าที่ความรับผิดชอบ

ปฏิบัติงานในฐานะผู้ปฏิบัติงานระดับต้น ที่ต้องใช้ความรู้ ความสามารถทางวิชาการในการทำงาน ปฏิบัติงานด้านจดหมายเหตุ ภายใต้การกำกับ แนะนำ ตรวจสอบ และปฏิบัติงานอื่นตามที่ได้รับมอบหมาย

ลักษณะงานที่ปฏิบัติ

แสวงหา ติดตาม และรวบรวมเอกสารสำคัญทุกประเภทจากหน่วยงานของรัฐและเอกชน เพื่อจัดเก็บ ไว้เป็นเอกสารจดหมายเหตุของชาติ ร่วมวิเคราะห์และประเมินคุณค่าเอกสารสำคัญที่รับมอบจากหน่วยงานของรัฐและเอกชน เพื่อคัดเลือกเป็นเอกสารจดหมายเหตุของชาติ ศึกษา วิเคราะห์ และจัดหมวดหมู่เอกสารจดหมายเหตุ เพื่อเผยแพร่ข้อมูลให้บุคคลหรือหน่วยงานที่เกี่ยวข้องได้เข้าใจและตระหนักถึงคุณค่าความสำคัญของงานจดหมายเหตุ จัดเตรียมและบันทึกข้อมูลจดหมายเหตุด้วยระบบสารสนเทศจดหมายเหตุ เพื่อจัดเก็บ และสงวนรักษา จัดทำสำเนาเอกสารจดหมายเหตุ เพื่อรักษาเอกสารต้นฉบับ ร่วมดำเนินการวางแผนการทำงานของหน่วยงานหรือ โครงการ เพื่อให้การดำเนินงานเป็นไปตามเป้าหมายและผลสัมฤทธิ์ที่กำหนด ประสานการทำงานร่วมกันทั้งภายในและภายนอก เพื่อให้เกิดความร่วมมือและผลสัมฤทธิ์ตามที่กำหนด สามารถชี้แจงและให้รายละเอียดเกี่ยวกับข้อมูล ข้อเท็จจริงแก่บุคคลหรือหน่วยงานที่เกี่ยวข้อง เพื่อสร้างความเข้าใจหรือความร่วมมือในการดำเนินงานตามที่ได้รับมอบหมาย ให้บริการเอกสารจดหมายเหตุ แก่บุคคลหรือหน่วยงานราชการที่เกี่ยวข้อง เพื่อเผยแพร่ข้อมูลเอกสารจดหมายเหตุ

คุณสมบัติเฉพาะสำหรับตำแหน่ง

มีคุณสมบัติอย่างใดอย่างหนึ่งดังต่อไปนี้

๑. ได้รับปริญญาตรีหรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกัน ในสาขาวิชาประวัติศาสตร์ หรือสาขาวิชาภาษาวรรณคดี โบราณคดี หรือสาขาวิชาใดสาขาวิชาหนึ่งหรือหลายสาขาดังกล่าว ในทางที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติ หรือสาขาวิชาอื่นที่ ก.พ. กำหนดว่าใช้เป็นคุณสมบัติเฉพาะสำหรับตำแหน่งนี้ได้

๒. ได้รับปริญญาโทหรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกัน ในสาขาวิชาประวัติศาสตร์ หรือสาขาวิชาภาษาวรรณคดี โบราณคดี หรือสาขาวิชาใดสาขาวิชาหนึ่งหรือหลายสาขาดังกล่าว ในทางที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติ หรือสาขาวิชาอื่นที่ ก.พ. กำหนดว่าใช้เป็นคุณสมบัติเฉพาะสำหรับตำแหน่งนี้ได้

๓. ได้รับปริญญาหรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกันในสาขาวิชาประวัติศาสตร์ หรือสาขาวิชาภาษาวรรณคดี โบราณคดี หรือสาขาวิชาใดสาขาวิชาหนึ่งหรือหลายสาขาดังกล่าว ในทางที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติ หรือสาขาวิชาอื่นที่ ก.พ. กำหนดว่าใช้เป็นคุณสมบัติเฉพาะสำหรับตำแหน่งนี้ได้

<p>7. Photographer: must obtain either Technical Certificate or High Vocational Certificate, other equivalent credentials or other field of studies that the organisation sees as suitable for the duties and job description, as well as other credentials determined by the Civil Service Commission as a qualification requirement for such position.</p> <p>8. Electrical Technician: must obtain at least Technical Certificate or High Vocational Certificate, other equivalent credentials in electricity and electronics, electrical engineering, electronic engineering or other field of studies that the organisation sees as suitable for the duties and job description, as well as other credentials determined by the Civil Service Commission as a qualification requirement for such position.</p> <p>9. General Manager: must obtain at least a bachelor's degree or other equivalent credentials in the field of studies that the organisation sees as suitable for the duties and job description, as well as other credentials determined by the Civil Service Commission as a qualification requirement for such position.</p> <p>10. Clerical Officer: must obtain at least High Vocational Certificate or other equivalent credentials in the field of studies that the organisation sees as suitable for the duties and job description, as well as other credentials determined by the Civil Service Commission as a qualification requirement for such position.</p> <p>11. Records Repairman: must obtain at least Technical Certificate or other equivalent credentials in the field of studies that the organisation sees as suitable for the duties and job description.</p> <p>Must have ability and be suitable to carry out the duties. Initially, the National Archives approved the officers with middle school and secondary school degree to be hired as its permanent employees, in the position of records repairman. Those officers could learn and enhance necessary skills to repair the records till their proficiency has been developed.</p> <p>Repairing the records is the method of repairing, maintaining, preserving, and conserving the records using the systematic and formalised procedure to protect and prolong its usage life. In the future, if these permanent employees retire, the records repairman should assume their duties.</p>	74
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<p>Job description for each position</p> <p>The job description for each position in the National Archives is as follows.</p> <p>1. Archivist</p> <p>Archivist, Practitioner Level</p> <p>Scope of Responsibilities: perform the duties of the primary level officer. The Archivist, Practitioner Level must use their knowledge and academic ability for archives operation under the supervision, advice and inspection as well as carry out other tasks as assigned.</p> <p>Job Description: Archivist, Practitioner Level, shall have the following duties: to seek, follow and collect all types of important records from public and private organisations to preserve as the nation's archival records. To analyse and appraise the value of the important records received from public and private organisations to be selected as the nation's archival records. To study, analyse and categorise the archival records for publishing information to increase the understanding and awareness in the importance of archival records among the relevant personnel or organisation. To prepare and record the archives information using the archives information system for maintaining and preserving as well as duplicating the archival records to protect the original archival records. To devise the operational plan of the organisation or projects as well as facilitate the cooperation both from within and outside the organisation so that the organisation can achieve the targeted goal, outputs and outcomes. Able to inform the facts to the relevant personnel or organisations so as to create the understanding and collaboration to fulfil the assigned tasks while providing archival record service for the relevant public and external government agencies to publicise the archival records.</p> <p>Qualification requirement for the position</p> <p>Archivist, Practitioner Level must obtain one of the following academic degrees:</p> <ol style="list-style-type: none"> 1. Obtain a bachelor's degree or other equivalent academic degrees in History, Literature, Archaeology or other fields of studies that the organisation sees as suitable for the duties and job description as well as other fields of studies as determined by the Civil Service Commission. 2. Obtain a master's degree or other equivalent academic degrees in History, Literature, Archaeology or other fields of studies that the organisation sees as suitable for the duties and job description as well as other fields of studies as determined by the Civil Service Commission. 3. Obtain diplomas or other equivalent academic degrees in History, Literature, Archaeology or other fields of studies that the organisation sees as suitable for the duties and job description as well as other fields of studies as determined by the Civil Service Commission. 	75
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๔. ได้รับปริญญาในสาขาวิชาหรือทางอื่นที่ อ.ก.พ. กรม พิจารณาเห็นว่ามีความรู้ที่เทียบได้ในระดับเดียวกันกับสาขาวิชาหรือทางตามข้อ ๑ หรือข้อ ๒ หรือข้อ ๓ ซึ่งมีความเหมาะสมกับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติ

๕. ได้รับปริญญาหรือคุณวุฒิอย่างอื่นที่ ก.พ. กำหนดว่าใช้เป็นคุณสมบัติเฉพาะสำหรับตำแหน่งนี้ได้

ความรู้ความสามารถที่ต้องการ

๑. มีความรู้ในวิชาการจดหมายเหตุอย่างเหมาะสมแก่การปฏิบัติงานในหน้าที่
๒. มีความรู้ความเข้าใจในกฎหมายว่าด้วยระเบียบข้าราชการพลเรือน กฎหมายว่าด้วยระเบียบบริหารราชการแผ่นดิน และกฎหมาย กฎ ระเบียบ และข้อบังคับ อื่นที่ใช้ในการปฏิบัติงานในหน้าที่
๓. มีความรู้ทั่วไปเกี่ยวกับเหตุการณ์ปัจจุบันในด้านการเมือง เศรษฐกิจและสังคม โดยเฉพาะอย่างยิ่งของประเทศไทย
๔. มีความรู้ความสามารถในการใช้ภาษาอย่างเหมาะสมแก่การปฏิบัติงานในหน้าที่
๕. มีความสามารถในการศึกษาหาข้อมูล วิเคราะห์ปัญหา และสรุปเหตุผล
๖. มีความรู้ความเข้าใจในนโยบายและแผนงานด้านต่างๆ ของส่วนราชการที่สังกัด
๗. มีความสามารถในการจัดทำแผนงาน ควบคุม ตรวจสอบ ให้คำปรึกษาแนะนำ และเสนอแนะวิธีการแก้ไขปรับปรุงการปฏิบัติงานที่อยู่ในความรับผิดชอบ
๘. มีความสามารถในการติดต่อประสานงาน

นักจดหมายเหตุ ระดับชำนาญการ

หน้าที่ความรับผิดชอบ

ปฏิบัติงาน แนะนำ ตรวจสอบการปฏิบัติงานของผู้ร่วมปฏิบัติงาน โดยใช้ความรู้ ความสามารถ ประสบการณ์ และความชำนาญงานสูงในด้านจดหมายเหตุปฏิบัติงานที่ต้องตัดสินใจหรือแก้ปัญหาที่ยาก และปฏิบัติงานอื่นตามที่ได้รับมอบหมาย หรือ ปฏิบัติงานในฐานะผู้ปฏิบัติงานที่มีประสบการณ์ โดยใช้ความรู้ ความสามารถ ประสบการณ์และความชำนาญงานสูงในด้านจดหมายเหตุ

ลักษณะงานที่ปฏิบัติ

ควบคุมและปฏิบัติงาน แสวงหา ติดตามและรวบรวมเอกสารสำคัญทุกประเภทจากหน่วยงานของรัฐและเอกชน เพื่อจัดเก็บไว้เป็นเอกสารจดหมายเหตุของชาติ วิเคราะห์และประเมินคุณค่าเอกสารสำคัญที่รับมอบจากหน่วยงานของรัฐและเอกชนเพื่อคัดเลือกเป็นเอกสารจดหมายเหตุของชาติ ศึกษา วิเคราะห์ คัดแยก และจัดหมวดหมู่เอกสารจดหมายเหตุตามหลักวิชาการจดหมายเหตุสากล เพื่อศึกษา ค้นคว้า วิจัย ศึกษา ค้นคว้า เรียบเรียงเอกสารจดหมายเหตุ และบันทึกเหตุการณ์สำคัญ เพื่อเก็บไว้เป็นหลักฐานทางประวัติศาสตร์ ควบคุมการบันทึกข้อมูลจดหมายเหตุด้วยระบบสารสนเทศจดหมายเหตุ เพื่อจัดเก็บและสงวนรักษา ควบคุม และจัดทำสำเนาเอกสารจดหมายเหตุ เพื่อรักษาเอกสารต้นฉบับ วางแผนหรือร่วมดำเนินการวางแผนการทำงานตามแผนงานหรือโครงการของหน่วยงานระดับสำนักหรือกอง และแก้ปัญหาในการปฏิบัติงาน เพื่อให้การดำเนินงานเป็นไปตามเป้าหมายและผลสัมฤทธิ์ที่กำหนด ประสานการทำงานร่วมกันโดยมีบทบาทในการให้ความเห็นและคำแนะนำเบื้องต้นแก่สมาชิกในทีมงานหรือหน่วยงานอื่น เพื่อให้เกิดความร่วมมือและผลสัมฤทธิ์ตามที่กำหนด สามารถให้ข้อคิดเห็นหรือคำแนะนำเบื้องต้นแก่สมาชิกในทีมงานหรือบุคคลหรือหน่วย

งานที่เกี่ยวข้อง เพื่อสร้างความเข้าใจและความร่วมมือในการดำเนินงานตามที่ได้รับมอบหมาย การให้บริการเอกสารจดหมายเหตุ แก่บุคคลหรือหน่วยงานราชการที่เกี่ยวข้อง เพื่อเผยแพร่ข้อมูลเอกสารจดหมายเหตุ สามารถให้คำแนะนำเกี่ยวกับข้อมูลงานจดหมายเหตุแก่บุคคลหรือหน่วยงานที่เกี่ยวข้อง เพื่อเป็นการเผยแพร่ความรู้และประชาสัมพันธ์งานจดหมายเหตุ

คุณสมบัติเฉพาะสำหรับตำแหน่ง

๑. มีคุณสมบัติเฉพาะสำหรับตำแหน่งนักจดหมายเหตุ ระดับปฏิบัติการ และ

๒. ดำรงตำแหน่งใดตำแหน่งหนึ่งมาแล้ว ดังต่อไปนี้

๒.๑ ประเภทวิชาการ ระดับชำนาญการ

๒.๒ ประเภทวิชาการ ระดับปฏิบัติการ ไม่น้อยกว่า ๖ ปี กำหนดเวลา ๖ ปี ให้ลดเป็น ๔ ปี สำหรับผู้มีคุณสมบัติเฉพาะสำหรับตำแหน่งนักจดหมายเหตุ ระดับปฏิบัติการ ข้อ ๒ หรือข้อ ๔ หรือข้อ ๕ ที่เทียบได้ไม่ต่ำกว่าปริญญาโท และลดให้เป็น ๒ ปี สำหรับผู้มีคุณสมบัติเฉพาะสำหรับตำแหน่งนักจดหมายเหตุ ระดับปฏิบัติการ ข้อ ๓ หรือข้อ ๔ หรือข้อ ๕ ที่เทียบได้ไม่ต่ำกว่าปริญญาเอก

๒.๓ ตำแหน่งอย่างอื่นที่เทียบเท่า ๒.๑ หรือ ๒.๒ แล้วแต่กรณี ตามหลักเกณฑ์และเงื่อนไขที่ ก.พ. กำหนด

๓. ปฏิบัติงานด้านจดหมายเหตุหรืองานอื่นที่เกี่ยวข้องตามที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสม กับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติมาแล้วไม่น้อยกว่า ๑ ปี

ความรู้ความสามารถที่ต้องการ

๑. มีความรู้ในวิชาการจดหมายเหตุอย่างเหมาะสมแก่การปฏิบัติงานในหน้าที่

๒. มีความรู้ความเข้าใจในกฎหมายว่าด้วยระเบียบข้าราชการพลเรือน กฎหมายว่าด้วยระเบียบบริหารราชการแผ่นดิน และกฎหมาย กฎ ระเบียบ และข้อบังคับ อื่นที่ใช้ในการปฏิบัติงานในหน้าที่

๓. มีความรู้ทั่วไปเกี่ยวกับเหตุการณ์ปัจจุบันในด้านการเมือง เศรษฐกิจ และสังคม โดยเฉพาะอย่างยิ่งของประเทศไทย

๔. มีความรู้ความสามารถในการใช้ภาษาอย่างเหมาะสมแก่การปฏิบัติงานในหน้าที่

๕. มีความสามารถในการศึกษาหาข้อมูล วิเคราะห์ปัญหา และสรุปเหตุผล

๖. มีความรู้ความเข้าใจในนโยบายและแผนงานด้านต่างๆ ของส่วนราชการที่สังกัด

๗. มีความสามารถในการจัดทำแผนงาน ควบคุม ตรวจสอบ ให้คำปรึกษาแนะนำ และเสนอแนะวิธีการแก้ไขปรับปรุงการปฏิบัติงานที่อยู่ในความรับผิดชอบ

๘. มีความสามารถในการติดต่อประสานงาน

๙. มีความสามารถในการบริหารงาน และจัดระบบงาน

๑๐. มีความสามารถในการริเริ่ม ปรับปรุงนโยบายและแผน

๑๑. มีความเข้าใจในนโยบายการบริหารงานของรัฐบาล และปัญหาด้านการเมือง เศรษฐกิจ และสังคมของประเทศ

<p>4. Obtain a degree in the field of studies or others that the Civil Service Commission considers as equivalent knowledge to number 1, 2 or 3 that are suitable for the duties and job description as well as other fields of studies as determined by the Civil Service Commission.</p> <p>5. Obtain a degree or other credentials determined by the Civil Service Commission as a qualification requirement for such position.</p> <p>Necessary knowledge and ability</p> <ol style="list-style-type: none"> 1. Have appropriate academic knowledge in archives to carry out the duties. 2. Have the understanding in the Civil Service Act, National Government Organisation Act and other acts, rules and regulations for performing the duties. 3. Have general knowledge about the current events in politics, economy and society particularly the situation in Thailand. 4. Have knowledge and understanding in language usage, appropriate to perform the assigned tasks. 5. Have ability to search for information, analyse problems and make the conclusion. 6. Have understanding in policy and different plans in different aspects of the organisation. 7. Have ability to devise plans, supervise, inspect, advise and propose the means to improve the current operations. 8. Have ability to coordinate. <p>Archivist, Professional Level</p> <p>Scope of Responsibilities: Perform the duties, advise and inspect the work of the colleagues by using the knowledge, ability, experiences and high proficiency in archives operation that require decision making and solving difficult problems. Carry out other assigned tasks or take the role of experienced officers who use knowledge, ability, experiences and high proficiency in archives.</p> <p>Job Description: Archivist, Professional Level, shall have the following duties: to supervise and perform the duties, seek, monitor and collect all types of important records from public and private organisations to preserve as the nation's archival records. To analyse and appraise the value of the important records received from public and private organisations to be selected as the nation's archival records. To study, analyse, sort and classify the archival records into categories according to the international archival management standards in order to study, research, arrange and preserve the archival records and records of important events as the historical evidence. To monitor the process of recording archives in formation using the archives information system for maintaining and preserving as well as duplicating the archival records to protect the original archival records. To devise the operational plan of the organisation or projects at the bureau or the division level as well as solve any problems that may occur during the operation to achieve the targeted goal, outputs and outcomes. Able to coordinate the collaboration among different parties. To provide opinions and initial advice to the team members, officers or other organisations in order to create the understanding and collaboration so as to fulfil the assigned tasks.</p>	<p>To provide archival record service for the relevant public and government agencies to publicize the archival records. Able to give recommendations on archives records to relevant public and government agencies to disseminate knowledge and promote the archives operation.</p> <p>Qualification Requirement for the position</p> <p>Archivist, Professional Level must obtain one of the following academic degrees:</p> <ol style="list-style-type: none"> 1. Fulfill the qualification requirement for Archivist, Practitioner Level. 2. Have held any of the following positions: <ol style="list-style-type: none"> 2.1 Have held Knowledge worker position, Professional Level 2.2 Have held Knowledge worker position, Practitioner Level, for not less than 6 years. <p>Those with a master's degree (number 2) or equivalent credentials (number 4 or 5) are allowed to hold the knowledge worker position, Practitioner Level, for at least 4 years. Those with a doctoral degree or equivalent credentials (number 3, 4 or 5) are allowed to hold the knowledge worker position, Practitioner Level, for at least 2 years.</p> <p>2.3 Have held other equivalent positions to number 2.1 or 2.2 on a case-by-case basis according to the regulations and conditions determined by the Civil Service Commission.</p> <p>3. Having been performing the duties of archives operation or other positions that the organisation sees as suitable for the responsibilities and characteristics of the duties for at least 1 year.</p> <p>Necessary knowledge and ability</p> <ol style="list-style-type: none"> 1. Have appropriate academic knowledge in archives to carry out the duties. 2. Have the understanding in the Civil Service Act, National Government Organisation Act and other acts, rules and regulations for performing the duties. 3. Have general knowledge about the current events in politics, economy and society particularly the situation in Thailand. 4. Have knowledge and understanding in language usage, appropriate to perform the assigned tasks. 5. Have ability to search for information, analyse problems and make the conclusion. 6. Have understanding in policy and different plans in different aspects of the organisation. 7. Have ability to devise plans, supervise, inspect, advise and propose the means to improve the current operations. 8. Have ability to coordinate. 9. Have ability to administer and manage the operational system 10. Have ability to initiate and modify the policy or plans 11. Have the good understanding of the government administration and the political, economical and social problems within the country.
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นักจดหมายเหตุ ระดับชำนาญการพิเศษ

หน้าที่ความรับผิดชอบ

ปฏิบัติงานในฐานะหัวหน้างาน ซึ่งต้องควบคุม กำกับ แนะนำ ตรวจสอบการปฏิบัติงานของผู้ร่วมปฏิบัติงาน โดยใช้ความรู้ ความสามารถ ประสบการณ์ และความชำนาญงานสูงมากในด้านจดหมายเหตุปฏิบัติงานที่ต้องตัดสินใจหรือแก้ไขปัญหาที่ยากมาก และปฏิบัติงานอื่นตามที่ได้รับมอบหมาย หรือ ปฏิบัติงานในฐานะผู้ปฏิบัติงานที่มีประสบการณ์ โดยใช้ความรู้ ความสามารถ ประสบการณ์และความชำนาญงานสูงมากในด้านจดหมายเหตุ ปฏิบัติงานที่ต้องตัดสินใจหรือแก้ไขปัญหาที่ยากมาก และปฏิบัติงานอื่นตามที่ได้รับมอบหมาย

ลักษณะงานที่ปฏิบัติ

ควบคุม และวิเคราะห์ ประเมินคุณค่าเอกสารสำคัญ เพื่อคัดเลือกเป็นเอกสารจดหมายเหตุของชาติ ควบคุม ศึกษา วิเคราะห์ การจัดหมวดหมู่เอกสารจดหมายเหตุ เพื่อเป็นข้อมูลในการศึกษา ค้นคว้า วิจัย แก่หน่วยงานราชการ เอกชน รวมทั้งประชาชนทั่วไป ศึกษา ค้นคว้า วิเคราะห์ เรียบเรียงเอกสารจดหมายเหตุ และบันทึกเหตุการณ์สำคัญ เพื่อเก็บเป็นหลักฐานทางประวัติศาสตร์ ตรวจสอบต้นฉบับหนังสือจดหมายเหตุ และ เอกสารวิชาการจดหมายเหตุที่จัดทำขึ้นมา เพื่อตรวจสอบเนื้อหาความถูกต้อง และเสนอแนะแนวทาง ปฏิบัติกับเอกสารเหล่านั้นแก่ผู้ได้บังคับบัญชา จัดทำคู่มือ หรือแนวทางปฏิบัติในการวิเคราะห์ และประเมินคุณค่าเอกสาร การจัดเก็บรักษาและให้บริการเอกสารจดหมายเหตุ เพื่อให้การปฏิบัติงานเป็นไปในแนวทางเดียวกันและสอดคล้องกับนโยบายของหน่วยงาน วางแผนหรือร่วมดำเนินการวางแผนงาน โครงการของหน่วยงานระดับสำนักหรือกองมอบหมายงาน แก้ปัญหาในการปฏิบัติงานและติดตามประเมินผล เพื่อให้เป็นไปตามเป้าหมายและผลสัมฤทธิ์ที่กำหนด ประสานการทำงานร่วมกันในทีมงาน โดยมีบทบาทในการชี้แนะ จูงใจ ทีมงานหรือหน่วยงานอื่นในระดับสำนักหรือกอง เพื่อให้เกิดความร่วมมือและผลสัมฤทธิ์ตามที่กำหนด ชี้แจงให้ข้อคิดเห็นในที่ประชุมคณะกรรมการหรือคณะทำงานต่างๆ เพื่อให้เกิดประโยชน์และความร่วมมือในการดำเนินงานร่วมกัน ให้คำปรึกษา แนะนำ และตอบปัญหาเกี่ยวกับการทำงานให้แก่เจ้าหน้าที่ระดับรองลงมา เพื่อให้การทำงานเป็นไปอย่างถูกต้องและมีประสิทธิภาพ ให้คำปรึกษา แนะนำ เกี่ยวกับข้อมูลงานจดหมายเหตุ แก่บุคคลหรือหน่วยงานที่เกี่ยวข้อง เพื่อเผยแพร่ความรู้และประชาสัมพันธ์งานจดหมายเหตุ

คุณสมบัติเฉพาะสำหรับตำแหน่ง

๑. มีคุณสมบัติเฉพาะสำหรับตำแหน่งนักจดหมายเหตุ ระดับปฏิบัติการ และ
๒. ดำรงตำแหน่งใดตำแหน่งหนึ่งมาแล้ว ดังต่อไปนี้
 - ๒.๑ ประเภทอำนวยการ ระดับต้น
 - ๒.๒ ประเภทวิชาการ ระดับชำนาญการพิเศษ
 - ๒.๓ ประเภทวิชาการ ระดับชำนาญการ ไม่น้อยกว่า ๔ ปี
 - ๒.๔ ตำแหน่งอย่างอื่นที่เทียบเท่า ๒.๑ หรือ ๒.๒ หรือ ๒.๓ แล้วแต่กรณี ตามหลักเกณฑ์และเงื่อนไขที่ ก.พ.กำหนด
๓. ปฏิบัติงานด้านจดหมายเหตุหรืองานอื่นที่เกี่ยวข้องตามที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสม กับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติมาแล้วไม่น้อยกว่า ๑ ปี

ความรู้ความสามารถที่ต้องการ

๑. มีความรู้ในวิชาการจดหมายเหตุอย่างเหมาะสมแก่การปฏิบัติงานในหน้าที่
๒. มีความรู้ความเข้าใจในกฎหมายว่าด้วยระเบียบข้าราชการพลเรือน กฎหมายว่าด้วยระเบียบบริหารราชการแผ่นดิน และกฎหมาย กฎ ระเบียบ และข้อบังคับ อื่นที่ใช้ในการปฏิบัติงานในหน้าที่
๓. มีความรู้ทั่วไปเกี่ยวกับเหตุการณ์ปัจจุบันในด้านการเมือง เศรษฐกิจ และสังคม โดยเฉพาะอย่างยิ่งของประเทศไทย
๔. มีความรู้ความสามารถในการใช้ภาษาอย่างเหมาะสมแก่การปฏิบัติงานในหน้าที่
๕. มีความสามารถในการศึกษาหาข้อมูล วิเคราะห์ปัญหา และสรุปเหตุผล
๖. มีความรู้ความเข้าใจในนโยบายและแผนงานด้านต่างๆ ของส่วนราชการที่สังกัด
๗. มีความสามารถในการจัดทำแผนงาน ควบคุม ตรวจสอบ ให้คำปรึกษาแนะนำ และเสนอแนะวิธีการแก้ไขปรับปรุงการปฏิบัติงานที่อยู่ในความรับผิดชอบ
๘. มีความสามารถในการติดต่อประสานงาน
๙. มีความสามารถในการบริหารงาน และจัดระบบงาน
๑๐. มีความสามารถในการริเริ่ม ปรับปรุงนโยบายและแผน
๑๑. มีความเข้าใจในนโยบายการบริหารงานของรัฐบาล และปัญหาด้านการเมือง เศรษฐกิจ และสังคมของประเทศ
๑๒. มีความเชี่ยวชาญในงานจดหมายเหตุ

นักจดหมายเหตุ ระดับเชี่ยวชาญ

ตำแหน่งประเภท	วิชาการ
ชื่อสายงาน	จดหมายเหตุ
ชื่อตำแหน่งในสายงาน	นักจดหมายเหตุ
ระดับตำแหน่ง	เชี่ยวชาญ

หน้าที่ความรับผิดชอบหลัก

ปฏิบัติงานในฐานะผู้ปฏิบัติงานที่มีความเชี่ยวชาญในงาน โดยใช้ความรู้ ความสามารถประสบการณ์ และความเชี่ยวชาญในด้านวิชาการจดหมายเหตุ ปฏิบัติงานที่ต้องตัดสินใจหรือแก้ปัญหาในทางวิชาการที่ยาก และซับซ้อนมากและมีผลกระทบในวงกว้างและปฏิบัติงานอื่นตามที่ได้รับมอบหมายหรือ

ปฏิบัติงานในฐานะผู้ปฏิบัติงานให้คำปรึกษาของส่วนราชการระดับกระทรวง กรม ซึ่งใช้ความรู้ความสามารถ ประสบการณ์ และความเชี่ยวชาญในด้านวิชาการจดหมายเหตุ ปฏิบัติงานที่ต้องตัดสินใจหรือแก้ปัญหาในทางวิชาการที่ยากและซับซ้อนมากและมีผลกระทบในวงกว้าง และปฏิบัติงานอื่นตามที่ได้รับมอบหมาย โดยมีลักษณะงานที่ปฏิบัติในด้านต่าง ๆ ดังนี้

<p>Archivist, Senior Professional Level</p> <p>Scope of Responsibilities: the archivist, Senior Professional Level may perform the duties of the supervisor. The responsibilities include supervising, monitoring, advising and inspecting the operation of colleagues by using the knowledge, ability, experiences and high proficiency in archives operation, as well as making important decisions or solving the challenging problems and carrying out other tasks as assigned.</p> <p>Job Description: Archivist, Senior Professional Level, shall have the following duties: to control, analyse and appraise the value of important records to be selected as the nation's archival records. To control, study, analyse and categorize the archival records to provide information for academic purpose among public and private organisations and general public. To study, research, analyse and arrange the archival records and a record of events to preserve as historical evidence. To inspect the original archives and academic archival records made to establish the accuracy and advise on managing those records to the subordinates. To make manuals or guidelines for analysing and appraising the value of records as well as the guidelines for maintaining archival records and providing service to ensure that the operations are carried out in the same direction and comply with the organisation's policy. To devise the plan or take part in joint-planning on the projects of the organisations as assigned by the bureau or the division. To solve the problems taking place during the operation and conduct the evaluation to ensure the organisation can achieve the targeted goal, outputs and outcomes. To coordinate within the team by taking leadership role in giving guidance and encouraging the team members or between other divisions and bureaus to bring about the cooperation and the targeted outcomes. To inform and give opinions in the committee or working group meetings for the benefits and cooperation as well as so as to make the operation accurate and efficient. To consult and give recommendation on archives information to the relevant personnel or organisations to publicize the archival records.</p> <p>Qualification Requirements</p> <ol style="list-style-type: none"> 1. Obtain the qualification requirements for Archivist, Practitioner Level. 2. Have held one of the following positions <ol style="list-style-type: none"> 2.1 Managerial Position, Primary Level. 2.2 Knowledge Worker Position, Senior Professional Level. 2.3 Knowledge Worker Position, Professional Level for at least 4 years. 2.4 Other positions equivalent to 2.1, 2.2 or 2.3 on a case-by-case basis as determined by the Civil Service Commission. 3. Have been performing the duties of the archivist or the relevant tasks that the organisation considers suitable for the duties and job description for at least 1 year. 	<p>Necessary knowledge and ability</p> <ol style="list-style-type: none"> 1. Have appropriate academic knowledge in archives to carry out the duties. 2. Have the understanding in the Civil Service Act, National Government Organisation Act and other acts, rules and regulations necessary for performing the duties. 3. Have general knowledge about the current events in politics, economy and society particularly the situation in Thailand. 4. Have knowledge and understanding in language usage, appropriate to perform the assigned tasks. 5. Have ability to search for information, analyse problems and make the conclusion. 6. Have understanding in policy and different plans in different aspects of the organisation. 7. Have ability to devise plans, supervise, inspect, advise and propose the means to improve the current operations. 8. Have ability to coordinate. 9. Have ability to manage and systematize. 10. Have ability to initiate and modify the policy or plan. 11. Have understanding in the public administration policy as well as political, economical and social problems in the country. 12. Have expertise in archives. <p>Archivist, Expert Level</p> <p>Type of the Position: Knowledge Worker</p> <p>Field of the work: archives</p> <p>Position name: Archivist</p> <p>Civil Servant Level: Expert Level</p> <p>Scope of Responsibilities: the archivist, Expert Level, must perform the duties of the expert officer who uses knowledge, ability, experiences and expertise in archives operation, as well as making important decisions or finding a solution to the challenging, complicated and large-scale academic problems and carrying out other tasks as assigned.</p> <p>Perform the duties as the consultant for the organisation at the ministry or the division level which requires extensive knowledge, ability, experience and expertise in archives, important decision making or solving the challenging, complicated and large-scale academic problems and carrying out other tasks as assigned. The job description is in the following aspects.</p>
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๑. ด้านการปฏิบัติการ

(๑) ตรวจสอบ วินิจฉัย ให้คำปรึกษา และแก้ไขปัญหาที่สำคัญทางวิชาการจตหมายเหตุเพื่อให้การดำเนินงานถูกต้องตามหลักวิชาการจตหมายเหตุและกฎหมายที่เกี่ยวข้อง

(๒) ศึกษา ค้นคว้า วิจัย ด้านจตหมายเหตุ เพื่อประกอบการพิจารณากำหนดนโยบายแผนงาน มาตรฐานและแนวทางการปฏิบัติงานจตหมายเหตุ รวมทั้งการปรับปรุงระบบงานและวิธีการดำเนินงานจตหมายเหตุ

(๓) พัฒนาระบบการดำเนินงานด้านจตหมายเหตุ และระบบจัดเก็บเอกสารจตหมายเหตุให้สอดคล้องกับหลักวิชาการสากล โดยนำเทคโนโลยีสารสนเทศที่ทันสมัย เหมาะสมและมีประสิทธิภาพมาประยุกต์ใช้เพื่อเกิดประโยชน์สูงสุดแก่ประชาชนและสังคม

(๔) กำหนดหลักเกณฑ์ และวิธีการในการปฏิบัติงานด้านจตหมายเหตุ ทุกกระบวนการโดยมุ่งเน้น ความสำคัญและคุณค่าของเอกสารจตหมายเหตุ สามารถระบุความสำคัญและคุณค่าของเอกสารได้ว่าเอกสารใดสมควรเก็บรักษาเป็นเอกสารจตหมายเหตุ เพื่อให้การดำเนินงานเป็นไปในแนวทางเดียวกันอย่างมีประสิทธิภาพ

(๕) จัดทำคู่มือ ตำรา เอกสารทางวิชาการเพื่อประโยชน์ในการสร้างองค์ความรู้ด้านจตหมายเหตุ และพัฒนาระบบการถ่ายทอดองค์ความรู้แก่หน่วยงานของรัฐ และเครือข่ายจตหมายเหตุ

(๖) เป็นผู้แทนของส่วนราชการหรือรัฐบาลในการเข้าร่วมประชุมเจรจา สัมมนา และหรือนำเสนอ ผลงานทางวิชาการกับหน่วยงานที่เกี่ยวข้องกับการปฏิบัติงานทั้งในประเทศและต่างประเทศเพื่อเสนอแนะ ความคิดเห็นและนำความรู้ที่ได้รับมาพัฒนางานด้านจตหมายเหตุให้มีประสิทธิภาพและสอดคล้องกับมาตรฐานสากล

(๗) ติดตาม ตรวจสอบ และประเมินผลการพัฒนาด้านจตหมายเหตุ เพื่อสนับสนุนให้มีการพัฒนา อย่างสม่ำเสมอ สอดคล้องกับนโยบายของรัฐบาลและส่วนราชการ ตอบสนองความต้องการของสังคม และเป็นประโยชน์ต่อประเทศชาติ

๒. ด้านการวางแผน

วางแผนหรือร่วมดำเนินการวางแผน โดยเชื่อมโยงหรือบูรณาการแผนงาน โครงการในระดับกลยุทธ์ ของส่วนราชการระดับกรม มอบหมายงาน แก่ปัญหาในการปฏิบัติงาน ติดตามประเมินผล เพื่อให้บรรลุตาม เป้าหมายผลสัมฤทธิ์ที่กำหนด

๓. ด้านการประสานงาน

(๑) ประสานการทำงานโครงการต่างๆ กับบุคคล หน่วยงาน หรือองค์กรอื่น โดยมีบทบาทในการ จูงใจ โน้มน้าว เพื่อให้เกิดความร่วมมือและผลสัมฤทธิ์ตามที่กำหนดไว้

(๒) ให้ข้อคิดเห็น และคำแนะนำแก่หน่วยงานระดับกองหรือสำนัก รวมทั้งที่ประชุมทั้งในประเทศ และต่างประเทศ เพื่อให้เกิดประโยชน์และความร่วมมือการดำเนินงานร่วมกัน

๔. ด้านการบริการ

(๑) ให้คำปรึกษา แนะนำ วินิจฉัย ชี้แจง และตอบปัญหาที่สำคัญทางด้านจตหมายเหตุ และ ระเบียบปฏิบัติแก่เจ้าหน้าที่ระดับรองลงมา หรือบุคคลที่เกี่ยวข้อง เพื่อให้สามารถปฏิบัติงานได้อย่างถูกต้อง มีประสิทธิภาพและเป็นไปตามกฎหมายที่เกี่ยวข้อง

(๒) เป็นวิทยากรให้คำแนะนำ ถ่ายทอด ส่งเสริม และเผยแพร่ความรู้ทางวิชาการจดหมายเหตุแก่ บุคคลหรือหน่วยงานที่เกี่ยวข้อง เพื่อเสริมสร้างความรู้ความเข้าใจที่ถูกต้อง ชัดเจน

คุณสมบัติเฉพาะสำหรับตำแหน่ง

๑. มีคุณสมบัติเฉพาะสำหรับตำแหน่งนักจดหมายเหตุ ระดับปฏิบัติการ

๒. ดำรงตำแหน่งในตำแหน่งหนึ่งมาแล้ว ดังต่อไปนี้

๒.๑ ประเภทอำนวยการ ระดับสูง

๒.๒ ประเภทอำนวยการ ระดับต้น ไม่น้อยกว่า ๑ ปี

๒.๓ ประเภทวิชาการ ระดับเชี่ยวชาญ

๒.๔ ประเภทวิชาการ ระดับชำนาญการพิเศษ ไม่น้อยกว่า ๓ ปี

๒.๕ ตำแหน่งอย่างอื่นที่เทียบเท่า ๒.๑ หรือ ๒.๒ หรือ ๒.๓ หรือ ๒.๔ แล้วแต่กรณีตามหลักเกณฑ์

และเงื่อนไขที่ ก.พ. กำหนด

๓. ปฏิบัติงานด้านจดหมายเหตุ หรืองานอื่นที่เกี่ยวข้องตามที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสม กับหน้าที่ความรับผิดชอบ และลักษณะงานที่ปฏิบัติมาแล้วไม่น้อยกว่า ๑ ปี

ความรู้ความสามารถ ทักษะ และสมรรถนะที่จำเป็นสำหรับตำแหน่ง

๑. มีความรู้ความสามารถที่จำเป็นสำหรับการปฏิบัติงานในตำแหน่ง

๒. มีทักษะที่จำเป็นสำหรับการปฏิบัติงานในตำแหน่ง

๓. มีสมรรถนะที่จำเป็นสำหรับการปฏิบัติงานในตำแหน่ง

๒. เจ้าพนักงานจดหมายเหตุ

เจ้าพนักงานจดหมายเหตุ ระดับปฏิบัติงาน

หน้าที่ความรับผิดชอบ

ปฏิบัติงานในฐานะผู้ปฏิบัติงานระดับต้น ซึ่งไม่จำเป็นต้องใช้ผู้สำเร็จการศึกษาระดับปริญญาปฏิบัติงาน ด้านจดหมายเหตุ ตามแนวทาง แบบอย่าง ขั้นตอน และวิธีการที่ชัดเจน ภายใต้การกำกับ แนะนำ ตรวจสอบ และปฏิบัติงานอื่นตามที่ได้รับมอบหมาย

ลักษณะงานที่ปฏิบัติ

อบเอกสารเพื่อไว้รอการประเมินคุณค่าเป็นเอกสารจดหมายเหตุ จัดทำเครื่องมือช่วย จัดเก็บ ดูแล และค้นคืนเอกสารจดหมายเหตุในคลังเอกสารจดหมายเหตุ เพื่อให้การจัดเก็บเป็นระบบ และมีประสิทธิภาพ ร่วมสำรวจสภาพความชำรุดเสียหายของเอกสารจดหมายเหตุ เพื่อดำเนินการซ่อมแซมเอกสารจดหมายเหตุ ให้บริการสืบค้น ยืมคืน ทำสำเนาเอกสารจดหมายเหตุแก่บุคคลหรือหน่วยงาน ให้บริการฝากเก็บเอกสาร ให้ บริการอบเอกสาร และให้บริการซ่อมแซมเอกสารที่มีคุณค่าทางจดหมายเหตุแก่บุคคลหรือหน่วยงาน เพื่อ สงวนรักษาเอกสารในครอบครองให้อยู่ในสภาพสมบูรณ์

<p>1. Operation</p> <ol style="list-style-type: none"> 1. Check, diagnose, consult and solve the important academic problems in archives to ensure the operation comply with the academic theory in archives and the relevant laws. 2. Study, analyse and conduct research on archives in order to devise the policy and action plans based on the standards and guidelines for archives operation as well as modify the archives operating system and methods. 3. Develop the operating system and archives collection management system in compliance with the international standard by adopting appropriate and efficient modern technology for the highest benefit of the public and the society. 4. Set the regulations and methods for archives operation by giving importance and value in the archival records. Able to recognize the importance and value in the records as well as able to identify which records should be preserved as archives so as to ensure the efficiency and correspondence of the operation. 5. Create manuals, textbooks or academic documents in order to generate the body of knowledge in archives and develop a knowledge transfer system to the public organisations and the archives network. 6. Represent the organisation or government in the negotiation meeting, seminar or academic publication presentation with the relevant domestic and international organisations to express opinions and increase the efficiency in the current archives operation, in compliance with the international standard by using the knowledge gained. 7. Monitor, inspect and evaluate the development outcomes in archives to encourage continuous development, in compliance with the government and organisation policy and in response to the needs of the society and for the benefit of the country. <p>2. Planning</p> <p>Devise the plan or joint-planning by linking or integrating the plan and project at the strategic level of the division, assign the tasks, solve the problems that may occur during the operation and evaluate the performance to achieve the targeted outcomes.</p> <p>3. Coordination</p> <ol style="list-style-type: none"> 1. Coordinate the projects with officers or other organisations. Take the leadership role in encouraging, persuading and creating the collaboration to achieve the targeted outcomes. 2. Express opinions and recommendation to the organisation at the division or the bureau level as well as in the meeting both in the country and abroad for the mutual benefit and collaboration. <p>4. Service Provision</p> <ol style="list-style-type: none"> 1. Consult, advise, diagnose, explain and provide answers for the important questions in archives and regulations for the lower level officers and relevant officers to ensure that the operation is carried out in an accurate, efficient manner and in compliance with the relevant laws. 	<p>2. Take the role of a guest speaker who advise, transfer, promote and disseminate the knowledge in archives to the relevant officers and organisations to strengthen the clear and accurate understanding and knowledge.</p> <p>Qualification Requirements</p> <ol style="list-style-type: none"> 1. Obtain the qualification requirements for Archivist, Practitioner Level. 2. Hold one of the following positions <ol style="list-style-type: none"> 2.1 Managerial Position, higher Level. 2.2 Managerial Position, Primary Level for at least a year. 2.3 Knowledge Worker Position, Expert Level. 2.3 Knowledge Worker Position, Senior Professional Level for at least 3 years. 2.4 Other positions equivalent to 2.1, 2.2, 2.3 or 2.4 on a case-by-case basis as determined by the Civil Service Commission. 3. Have been performing the duties of the archivist or the relevant tasks that the organisation considers suitable for the duties and job description for at least 1 year. <p>Necessary knowledge and ability</p> <ol style="list-style-type: none"> 1. Have appropriate academic knowledge in archives to carry out the duties. 2. Have the necessary skills to carry out the duties. 3. Have the necessary competency to carry out the duties. <p>2. Assistant Archivist Officer</p> <p>Assistant Archivist Officer, Operational Level</p> <p>Scope of Responsibilities: perform the duties as the primary operational level.</p> <p>Assistant Archivist Officer does not need to obtain a bachelor's degree in archives, but should be able to follow the guideline, procedure and clear methods. Able to work under the supervision, advise or inspection and carry out other tasks as assigned.</p> <p>Job Description: Assistant Archivist Officer, Operational Level shall have the following duties: to prepare the records for value appraisal, make the finding aids, restore, maintain and search for archival records in the archives repository in order to ensure the systematic and efficient maintaining system. To inspect the defects of the archival records, repair the detected records and provide service for searching, borrowing, duplicating the records for organisations and general public. To deposit the records, bake the records and provide repairation service for the valuable archival records for organisations and general public in order to maintain and preserve the condition of the archival records.</p>
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คุณสมบัติเฉพาะสำหรับตำแหน่ง

มีคุณสมบัติอย่างใดอย่างหนึ่งดังต่อไปนี้

๑. ได้รับประกาศนียบัตรวิชาชีพหรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกัน ในสาขาวิชาหรือทางที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติ
๒. ได้รับประกาศนียบัตรวิชาชีพเทคนิคหรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกัน ในสาขาวิชาหรือทางที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติ
๓. ได้รับประกาศนียบัตรวิชาชีพชั้นสูงหรือคุณวุฒิอย่างอื่นที่เทียบได้ในระดับเดียวกัน ในสาขาวิชาหรือทางที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติ
๔. ได้รับประกาศนียบัตรหรือคุณวุฒิอย่างอื่นที่ ก.พ. กำหนดว่าใช้เป็นคุณสมบัติเฉพาะสำหรับตำแหน่งนี้ได้

ความรู้ความสามารถที่ต้องการ

๑. มีความรู้ในงานช่วยนักจดหมายเหตุอย่างเหมาะสมแก่การปฏิบัติงานในหน้าที่
๒. มีความรู้ความเข้าใจในกฎหมายว่าด้วยระเบียบข้าราชการพลเรือนกฎหมายว่าด้วยระเบียบบริหารราชการแผ่นดิน และกฎหมาย กฎ ระเบียบ และข้อบังคับอื่นที่ใช้ในการปฏิบัติงานในหน้าที่
๓. มีความรู้ความสามารถในการปฏิบัติงานธุรการ และงานสารบรรณอย่างเหมาะสมแก่การปฏิบัติงานในหน้าที่
๔. มีความสามารถในการปฏิบัติหน้าที่ด้วยความละเอียดแม่นยำ
๕. มีความรู้ทั่วไปเกี่ยวกับเหตุการณ์ปัจจุบันในด้านการเมืองเศรษฐกิจ และสังคม โดยเฉพาะอย่างยิ่งของประเทศไทย
๖. มีความสามารถในการศึกษา หาข้อมูล วิเคราะห์ปัญหาและสรุปเหตุผล

เจ้าพนักงานจดหมายเหตุ ระดับชำนาญงาน

หน้าที่ความรับผิดชอบ

ปฏิบัติงานในฐานะหัวหน้างาน ซึ่งไม่จำเป็นต้องใช้ผู้สำเร็จการศึกษาระดับปริญญา โดยต้องกำกับแนะนำ ตรวจสอบการปฏิบัติงานของผู้ร่วมปฏิบัติงาน โดยใช้ความรู้ ความสามารถ ประสบการณ์ และความชำนาญงานด้านจดหมายเหตุ ปฏิบัติงานที่ต้องตัดสินใจหรือแก้ปัญหาที่ค่อนข้างยาก และปฏิบัติงานอื่นตามที่ได้รับมอบหมาย หรือ ปฏิบัติงานในฐานะผู้ปฏิบัติงานที่มีประสบการณ์ซึ่งไม่จำเป็นต้องใช้ผู้สำเร็จการศึกษาระดับปริญญา โดยใช้ความรู้ ความสามารถ ประสบการณ์และความชำนาญงานด้านจดหมายเหตุ ปฏิบัติงานที่ต้องตัดสินใจหรือแก้ปัญหาที่ค่อนข้างยาก และปฏิบัติงานอื่นตามที่ได้รับมอบหมาย

ลักษณะงานที่ปฏิบัติ

จัดร่วมประเมินคุณค่าเอกสารสำคัญ ร่วมจัดหมวดหมู่เอกสารจดหมายเหตุ จัดทำบัญชีเอกสารจดหมายเหตุและจัดทำเครื่องมือช่วยค้นประเภทต่างๆ เพื่ออำนวยความสะดวกรวดเร็วในการค้นคว้าเอกสารจดหมายเหตุ ควบคุมการจัดเก็บ ดูแล คั่นคืนเอกสารจดหมายเหตุในคลังเอกสารจดหมายเหตุ เพื่อให้การจัดเก็บเป็นระบบ และมีประสิทธิภาพ สำนวณสภาพความชำรุดเสียหายและดำเนินการซ่อมแซมเอกสารจดหมายเหตุ เพื่อให้เอกสารอยู่ในสภาพที่ใช้งานได้ รวบรวมจัดทำสถิติการให้บริการ จัดทำทะเบียนยืมคืน ทะเบียนทำสำเนา

เอกสารจดหมายเหตุ กำกับ ดูแล ให้คำแนะนำในการปฏิบัติงานแก่เจ้าหน้าที่ระดับรองลงมา เพื่อให้การดำเนินงานเป็นไปอย่างมีประสิทธิภาพ ให้บริการสืบค้น ยืมคืน ทำสำเนาเอกสารจดหมายเหตุ หนังสือ สิ่งพิมพ์ต่างๆ แก่บุคคลหรือหน่วยงานที่เกี่ยวข้อง ประสานงานกับหน่วยงาน เพื่อให้การปฏิบัติงานเป็นไปอย่างมีประสิทธิภาพ

คุณสมบัติเฉพาะสำหรับตำแหน่ง

คุณสมบัติเฉพาะสำหรับตำแหน่ง

๑. มีคุณสมบัติเฉพาะตำแหน่งเจ้าพนักงานจดหมายเหตุ ระดับปฏิบัติงาน และ
๒. เคยดำรงตำแหน่งประเภททั่วไป ระดับปฏิบัติงาน มาแล้วไม่น้อยกว่า ๖ ปี กำหนดเวลา ๖ ปี ให้ลดเป็น ๕ ปี สำหรับผู้มีคุณสมบัติเฉพาะสำหรับตำแหน่งเจ้าพนักงานจดหมายเหตุ ระดับปฏิบัติงานข้อ ๒ หรือข้อ ๔ ที่เทียบได้ไม่ต่ำกว่าประกาศนียบัตรวิชาชีพเทคนิค และให้ลดเป็น ๔ ปี สำหรับผู้มีคุณสมบัติเฉพาะสำหรับตำแหน่งเจ้าพนักงานจดหมายเหตุ ระดับปฏิบัติงาน ข้อ ๓ หรือข้อ ๔ ที่เทียบได้ไม่ต่ำกว่าประกาศนียบัตรวิชาชีพชั้นสูง หรือดำรงตำแหน่งอย่างอื่นที่เทียบได้ไม่ต่ำกว่านี้ตามหลักเกณฑ์และเงื่อนไขที่ ก.พ.กำหนด โดยจะต้องปฏิบัติงานจดหมายเหตุ หรืองานอื่นที่เกี่ยวข้องตามที่ส่วนราชการเจ้าสังกัดเห็นว่าเหมาะสมกับหน้าที่ความรับผิดชอบและลักษณะงานที่ปฏิบัติมาแล้วไม่น้อยกว่า ๑ ปี

ความรู้ความสามารถที่ต้องการ

๑. มีความรู้ในงานช่วยนักจดหมายเหตุอย่างเหมาะสมแก่การปฏิบัติงานในหน้าที่
๒. มีความรู้ความเข้าใจในกฎหมายว่าด้วยระเบียบข้าราชการพลเรือนกฎหมายว่าด้วยระเบียบบริหารราชการแผ่นดิน และกฎหมาย กฎ ระเบียบ และข้อบังคับอื่นที่ใช้ในการปฏิบัติงานในหน้าที่
๓. มีความรู้ความสามารถในการปฏิบัติงานธุรการ และงานสารบรรณอย่างเหมาะสมแก่การปฏิบัติงานในหน้าที่
๔. มีความสามารถในการปฏิบัติหน้าที่ด้วยความละเอียดแม่นยำ
๕. มีความรู้ทั่วไปเกี่ยวกับเหตุการณ์ปัจจุบันในด้านการเมืองเศรษฐกิจ และสังคม โดยเฉพาะอย่างยิ่งของประเทศไทย
๖. มีความสามารถในการศึกษา หาข้อมูล วิเคราะห์ปัญหาและสรุปเหตุผล
๗. มีความรู้ความเข้าใจในนโยบายและงานด้านต่างๆ ของส่วนราชการ
๘. มีความสามารถในการปกครองบังคับบัญชา
๙. มีความสามารถในการติดต่อประสานงาน

๓. นักวิชาการโสตทัศนศึกษา

นักวิชาการโสตทัศนศึกษา ระดับปฏิบัติการ

หน้าที่ความรับผิดชอบ

ปฏิบัติงานในฐานะผู้ปฏิบัติงานระดับต้น ที่ต้องใช้ความรู้ความสามารถทางวิชาการในการทำงาน ปฏิบัติงานด้านวิชาการโสตทัศนศึกษา ภายใต้การกำกับ แนะนำ ตรวจสอบ และปฏิบัติงานอื่นตามที่ได้รับมอบหมาย

<p>Qualification Requirements</p> <ol style="list-style-type: none"> 1. Obtain Vocational Certificate, or its equivalent credentials in the field of studies that the organisation sees as suitable for the duties and job description 2. Obtain Technical Certificate, or its equivalent credentials in the field of studies that the organisation sees as suitable for the duties and job description 3. Obtain High Vocational Certificate, or its equivalent credentials in the field of studies that the organisation sees as suitable for the duties and job description 4. Obtain other academic degrees determined by the Civil Service Commission as a qualification requirement for such position. <p>Necessary knowledge and ability</p> <ol style="list-style-type: none"> 1. Have appropriate academic knowledge for helping the archivists to carry out the duties. 2. Have the understanding in the Civil Service Act, National Government Organisation Act and other acts, rules and regulations necessary for performing the duties. 3. Have appropriate knowledge and ability in general administrative work and correspondence to carry out the duties. 4. Have ability to perform the task with accuracy and work in detailed manner. 5. Have general knowledge about the current events in politics, economy and society particularly the situation in Thailand. 6. Have ability to search for information, analyse problems and make the conclusion. <p>Assistant Archivist Officer, Experienced Level</p> <p>Scope of Responsibilities: may perform the duties as the supervisor. Assistant Archivist Officer does not need to obtain a bachelor's degree in archives, but should be able to supervise, advise and inspect the performance of the subordinates by using the knowledge, ability, experiences and expertise in archives operation, as well as making important decisions or solve challenging problems and carrying out other tasks as assigned. Assistant Archivist Officer, Experienced level may perform the duties of the experienced officer who use knowledge, ability, experiences and expertise in archives operation, as well as making important decisions or solve challenging problems and carrying out other tasks as assigned</p> <p>Job Description: Assistant Archivist Officer, Experienced level shall have the following duties: to help prepare the records for value appraisal, keep the records list and make different types of finding aids for the convenience of the users, as well as restore, maintain and search for archival records in the archives repository in order to ensure the systematic and efficient maintaining system. To inspect the defects of the archival records, repair the defected records and collect the statistics on the records search, borrow and duplication. To supervise, mentor and give advice to the subordinates to ensure the efficient archives operation as well as provide service for searching, borrowing, duplicating the records, books or other publications for external organisations and general public. To coordinate with different organisation to ensure the efficient archives operation.</p>	<p>Qualification Requirements</p> <ol style="list-style-type: none"> 1. Fulfill the qualification requirement for Assistant Archivist Officer, Operational Level. 2. Have held the General Position at Operational Level for at least 6 years. Those with Technical Certificate (Qualification Requirement for Assistant Archivist Officer, Operational Level, Number 2) or equivalent credentials (Number 4) are allowed to hold the General Position at Operational Level for at least 5 years to be qualified. Those with High Vocational Certificate or equivalent credentials determined by the Civil Service Commission (Qualification Requirement for Assistant Archivist Officer, Operational Level, Number 2 or 4) are allowed to hold the General Position at Operational Level, for at least 4 years. <p>Have been performing the duties in archives or the relevant tasks that the organisation considers suitable for the duties and job description for at least 1 year.</p> <p>Necessary knowledge and ability</p> <ol style="list-style-type: none"> 1. Have appropriate academic knowledge for helping the archivists to carry out the duties. 2. Have the understanding in the Civil Service Act, National Government Organisation Act and other acts, rules and regulations necessary for performing the duties. 3. Have appropriate knowledge and ability in general administrative work and correspondence to carry out the duties. 4. Have ability to perform the task with accuracy and work in detailed manner 5. Have general knowledge about the current events in politics, economy and society particularly the situation in Thailand. 6. Have ability to search for information, analyse problems and make the conclusion. 7. Have understanding in policy and different plans in different aspects of the organisation. 8. Have ability to supervise the subordinates. 9. Have ability to coordinate. <p>3. Audio-Visual Technical Officer</p> <p>Audio-Visual Technical Officer, Practitioner Level</p> <p>Scope of Responsibilities: perform the duties of the primary level officer. The Audio-Visual Technical Officer, Practitioner Level must use their knowledge and academic ability for audio-visual operation under the supervision, advice and inspection as well as carry out other tasks as assigned.</p>
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มาตรฐานการปฏิบัติงานจดหมายเหตุ

หอจดหมายเหตุแห่งชาติได้กำหนดเกณฑ์มาตรฐานในการปฏิบัติงานจดหมายเหตุ ไว้ดังนี้

๑. ศึกษานโยบายของรัฐ กระทรวง กรม และสำนัก เพื่อวิเคราะห์ กำหนดนโยบายการปฏิบัติงาน วางแผนงาน โครงการ การวางอัตรากำลัง การขอบประมาณ การมอบหมายงาน การวินิจฉัย สั่งการ ควบคุม ตรวจสอบ ให้คำปรึกษา แนะนำ ปรับปรุงแก้ไขและติดตามประเมินผลการปฏิบัติงานเจ้าหน้าที่ กลุ่มบริหารเอกสาร

๒. ควบคุม ตรวจสอบ กำกับ ดูแลการวิเคราะห์ ประเมินคุณค่าเอกสารชั้นต้นของนักจดหมายเหตุ จากบัญชีขออนุมัติทำลายเอกสาร จัดทำ / ตรวจสอบข้อตกลงการทำลายเอกสารของหน่วยงานของรัฐ ๒๐๐ หน่วยงาน หรือ ๔,๐๐๐ เรื่อง / ปี

๓. ควบคุม ตรวจสอบ กำกับ ดูแล และศึกษา วิเคราะห์ ประเมินคุณค่าเอกสารจดหมายเหตุที่ รับมอบจากหน่วยงานของรัฐ ๑ หน่วยงาน (๘ ขั้นตอน) / ปี

๔. ควบคุม ติดตาม รวบรวม รับมอบ และรับฝากเก็บเอกสารจากหน่วยงานของรัฐ ๑๖ หน่วยงาน หรือ ๔,๐๐๐ เรื่อง / ปี

๕. ควบคุม ตรวจสอบ กำกับ ดูแลการรอบเอกสาร และการจัดเก็บเอกสารในคลังศูนย์เก็บเอกสารใน คลังศูนย์เก็บเอกสาร ๑๖๐ พุท / ปี

๖. ศึกษาวิชาการจดหมายเหตุ และควบคุม ตรวจสอบ กำกับ ดูแล และให้คำปรึกษา คำแนะนำ และ ให้ความรู้เรื่องงานบริหารเอกสารแก่หอจดหมายเหตุแห่งชาติในส่วนภูมิภาค หน่วยงานของรัฐ และองค์กรต่าง ๆ ๔๐ หน่วยงาน / ปี

๗. ควบคุม ตรวจสอบ กำกับ ดูแลการให้บริการการสืบค้นเอกสาร รับมอบ เอกสารฝากเก็บ และ มอบเอกสารให้แก่หน่วยงานของรัฐ ๑๒ หน่วยงาน / ปี

๘. เอกสารจดหมายเหตุ

๘.๑ เอกสารลายลักษณ์ (Textual Archives)

- นักจดหมายเหตุ จัดหมวดหมู่เอกสารปริมาณ ๑๕ พุท/เดือน/คน
- เจ้าหน้าที่งานจดหมายเหตุ ลงบัญชีเอกสารปริมาณ ๕,๐๐๐ แผ่น หรือ ๑๕ กล้อง/เดือน/คน

๘.๒ เอกสารโสตทัศนจดหมายเหตุ (Audio – Visual Archives)

- นักจดหมายเหตุ จัดหมวดหมู่เอกสารโสตทัศนจดหมายเหตุ ทำคำบรรยายภาพและ เครื่องมือช่วยค้น (บัญชีภาพ) จำนวน ๑๐๐ รายการ/เดือน/คน
- เจ้าหน้าที่งานจดหมายเหตุ จัดทำเครื่องมือช่วยค้น จำนวน ๓๐๐ รายการ/เดือน/คน
- สแกนภาพเป็นไฟล์ดิจิทัลเพื่อนำเข้าระบบฐานข้อมูลจดหมายเหตุ จำนวน ๓๐๐ รายการ/ เดือน/คน

๙. ไมโครฟิล์ม (Microfilm)

- นักจดหมายเหตุ เรียบเรียงเอกสารจดหมายเหตุ (Arrangement) ให้เลขหน้าและตรวจสอบ คุณภาพไมโครฟิล์ม จำนวน ๔,๐๐๐ หน้า หรือ ๑๕๐ รายการ/เดือน/คน
- ช่างภาพ ถ่าย ล้าง จัดทำสำเนา (๒ ชุด) จำนวน ๓๐ ม้วน/เดือน/คน
- ทำสำเนาไมโครฟิล์ม (Duplication) จากไมโครฟิล์ม จำนวน ๑๐ ม้วน/เดือน/คน
- ทำสำเนาไมโครฟิล์มลงบนกระดาน จำนวน ๑,๕๐๐ แผ่น/เดือน/คน
- ทำสำเนาลงบนกระดาษและม้วนเพื่อบริการผู้ค้นคว้า

๑๐. การซ่อมสรวงรักษาเอกสาร (Conservation and Preservation)

- นักจดหมายเหตุ วิเคราะห์และกำหนดวิธีการซ่อมเอกสารตรวจสอบผลงานและซ่อมเอกสาร
จำนวน ๓,๒๐๐ แผ่น/เดือน/คน

- พนักงานซ่อมเอกสาร ซ่อมเอกสาร จำนวน ๕๐๐ แผ่น/เดือน/คน
- พนักงานซ่อมเอกสาร เย็บเล่มเอกสาร จำนวน ๑๕ เล่ม/เดือน/คน
- พนักงานซ่อมเอกสาร ซ่อมแผนที่ แผนที่ แผนผัง แบบแปลน ฯลฯ จำนวน ๓๐ แผ่น/เดือน/คน

๑๑. การจัดทำบันทึกเหตุการณ์สำคัญประจำวัน

- ประเมินคุณค่าเหตุการณ์สำคัญประจำวันจากข่าวออนไลน์ จำนวน ๘ ฉบับ โดยมีหัวเรื่อง
เหตุการณ์สำคัญที่ได้รับการประเมิน จำนวน ๔๐๐ เรื่อง/ปี

- สืบค้น ประเมินคุณค่า รวบรวม และจัดทำกฤตภาคข่าวเหตุการณ์สำคัญประจำวันจาก
ข่าวออนไลน์ จำนวนไม่น้อยกว่า ๕ ฉบับ/เรื่อง

- เรียบเรียงต้นฉบับบันทึกเหตุการณ์ประจำวัน ๔๐๐ เรื่อง/ปี โดยเฉลี่ย
- ตรวจสอบแก้ไขความถูกต้องของต้นฉบับบันทึกเหตุการณ์ประจำวัน จำนวน ๔๐๐ หน้า/ปี
- จัดพิมพ์เป็นหนังสือ “จดหมายเหตุประเทศไทย พุทธศักราช...” เพื่อเผยแพร่แก่สถานศึกษา

หน่วยงานภาครัฐ และภาคเอกชนที่สนใจ

- จัดทำเครื่องมือช่วยค้นประมวลข่าวเหตุการณ์สำคัญประจำวัน และต้นฉบับบันทึกเหตุการณ์
สำคัญประจำวัน ๔๐๐ รายการ/ปี

๑๒. การจัดทำบันทึกเหตุการณ์สำคัญเฉพาะเรื่อง

- ประเมินคุณค่าเหตุการณ์ที่สมควรบันทึกเป็นเหตุการณ์สำคัญของชาติ
- ติดตาม รวบรวม และรับมอบเอกสารประวัติศาสตร์ร่วมสมัยที่เกี่ยวข้อง (เอกสารลายลักษณ์
ภาพถ่าย สื่อสิ่งพิมพ์ แผนที่ แผนผัง แบบแปลน ฯลฯ)

- บันทึกเหตุการณ์ (จดบันทึก บันทึกภาพ บันทึกเสียง บันทึกวีดิทัศน์ ฯลฯ)

- สืบค้น ประเมินคุณค่า รวบรวม และจัดทำกฤตภาคข่าวเหตุการณ์สำคัญเฉพาะเรื่องจากข่าว
ออนไลน์

- เรียบเรียงต้นฉบับบันทึกเหตุการณ์สำคัญ
- ตรวจสอบแก้ไขความถูกต้องของต้นฉบับบันทึกเหตุการณ์สำคัญ
- จัดพิมพ์เป็นหนังสือ “จดหมายเหตุ...” เพื่อเผยแพร่แก่สถานศึกษา หน่วยงานภาครัฐ และ

ภาคเอกชนที่สนใจ

- จัดหมวดหมู่และจัดทำเครื่องมือช่วยค้นเอกสารประวัติศาสตร์ร่วมสมัยและต้นฉบับบันทึก
เหตุการณ์สำคัญ

๑๓. งานบริการ

- นักจดหมายเหตุรับผิดชอบห้องบริการเพื่อการค้นคว้าวิจัย จำนวน ๑ คน/วัน
- นักจดหมายเหตุให้บริการค้นคว้าเอกสารจดหมายเหตุลายลักษณ์ จำนวน ๔๐๐ ครั้ง/คน/เดือน
- นักจดหมายเหตุให้บริการเอกสารโสตทัศนจดหมายเหตุ จำนวน ๓๕๐ ครั้ง/คน/เดือน
- นักจดหมายเหตุควบคุมการทำสำเนาเอกสารจดหมายเหตุลายลักษณ์ จำนวน ๒๕๐ รายการ/

คน/เดือน

- เจ้าหน้าที่โสตทัศนศึกษา/นายช่างภาพ ให้บริการทำสำเนาเอกสารโสตทัศนจดหมายเหตุ
จำนวน ๒๕๐ รายการ/คน/เดือน

<p>Standards for Operating the Archives Performance</p> <p>The National Archives set the following standards for operating the archives performance.</p> <ol style="list-style-type: none"> 1. Study the policy of the government ministries, departments and divisions to analyse, set policy for operating, planning projects, manpower planning, budgeting, assigning, diagnosing, ordering, controlling, inspecting, counselling, recommending, solving, monitoring and evaluating the performance of the Records Management group officials. 2. Control, inspect, monitor and supervise the analysis and appraisal of primary records conducted by the archivists from the lists of records disposition's request as well as make or inspect the agreement of the records disposition guidelines for 200 government agencies or 4,000 record topics per year. 3. Control, inspect, monitor, study, analyse and appraise the value of the records accessioned from one government agency (8 steps) per year. 4. Control, inspect, monitor, accumulate, receive and deposit the records from 16 government agencies or 4,000 record topics per year. 5. Control, inspect, monitor and supervise the records migration and record storing in the record storage center amounting to 100 feet per year. 6. Study archival principles. Counsel and disseminate knowledge on records management to the National Archives branches, government agencies and other organisations for at least 40 organisations per year. 7. Control, inspect, monitor and supervise the records searching service, the receipt, the deposit and the delivery of records to 12 government organisations per year. 8. Archival records <ol style="list-style-type: none"> 8.1 Textual Archives <ul style="list-style-type: none"> - Each archivist categorises the records in the quantity of 15 feet per month. - Each assistant archivist officer makes the list of 5,000 records or 15 boxes per month. 8.2 Audio - Visual archives <ul style="list-style-type: none"> - Each archivist categorises audio-visual archives, provides descriptions and creates finding aids (image lists) in the quantity of 100 items per month. - Each assistant archivist officer makes the finding aids for 300 records items per month. - Scan 300 records to digital files for the archives database each month. 9. Micro film <ul style="list-style-type: none"> - Each archivist arranges the archival records, sorts the page number and inspects the quality of micro films in the quantity of 4,000 pages or 150 items per month. - Each photographer takes photos, develops and duplicates the images (2 copies) of 30 rolls per month. - Make microfilm duplication from 10 microfilm rolls per month per person. - Duplicate microfilm copy on paper in the quantity of 1,500 pieces per month per person. - Make duplicate copy on paper and microfilm roll to provide services for users. 	102
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<ol style="list-style-type: none"> 10. Conservation and Preservation <ul style="list-style-type: none"> - Each archivist analyses and sets the methods for conserving the damaged records, inspects and repairs 3,200 records per month. - Each records maintenance clerk repairs 500 records pieces per month. - Each records maintenance clerk binds 15 records per month. - Each records maintenance clerk repairs the map, diagram and plan in the quantity of 30 pieces per month. 11. Recording important daily events <ul style="list-style-type: none"> - Appraise the value of important daily events from online sources in the quantity of 8 issues and 400 topics of important events are appraised each year. - Select, appraise, collect and develop at least 5 press-clippings of important daily events per issue from online sources. - Arrange the drafts of important daily events approximately 400 pieces per year on average. - Proofread and edit the accuracy of the drafts of important daily events in the quantity of 400 pages per year. - Publish the book called "Thailand Archives B.E." to publicise among interested academic institutes, public and private organisations. - Create finding aids for the Compilation of important daily events and the drafts of important daily events in the quantity of 400 items per year. 12. Keep the records of specific important events <ul style="list-style-type: none"> - Appraise the value of the nation's important events. - Monitor, collect and handle the relevant contemporary records (Textual records, photos, publications, maps, diagrams and plans) - Arrange the original records of important events. - Proofread and edit the accuracy of original records of important events - Publish the book called "Archive of....." to publicise among interested academic institutes, public and private organisations. - Categorise and make finding aids for contemporary records 13. Service provision <ul style="list-style-type: none"> - Each archivist is responsible for each records research service room in a day. - Each archivist provides textual archives searching service in the quantity of 400 times per month. - Each archivist provides audio-visual archives service in the quantity of 350 times per month. - Each archivist supervises the duplication of textual archives in the quantity of 250 times per month. - Audio-Visual Technical Officer or photographer provides service for audio-visual archives duplication in the quantity of 250 times per month. 	103
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จรรยาบรรณนักจดหมายเหตุ

กรมศิลปากร ได้จัดทำประกาศกรมศิลปากร เรื่องมาตรฐานทางคุณธรรม และจริยธรรม ลงวันที่ ๑๘ พฤษภาคม พุทธศักราช ๒๕๕๙ ตามบทบัญญัติของรัฐธรรมนูญแห่งราชอาณาจักรไทย พุทธศักราช ๒๕๕๐ มาตรา ๗๗ ซึ่งกล่าวว่ารัฐต้องจัดทำมาตรฐานทางคุณธรรมและจริยธรรมของข้าราชการและลูกจ้างของรัฐ เพื่อป้องกันการทุจริตและประพฤติมิชอบ และเสริมสร้างประสิทธิภาพในการปฏิบัติหน้าที่ทั้งนี้ได้นำมาดำเนินการปรับปรุงประกาศดังกล่าวให้เหมาะสมยิ่งขึ้น และได้ประกาศใช้เมื่อวันที่ ๒๐ กันยายน พุทธศักราช ๒๕๕๐ เพื่อให้ข้าราชการและเจ้าหน้าที่ทุกคนของกรมศิลปากร ทราบและถือปฏิบัติ

มีความรู้ความเข้าใจ มีจิตสำนึกที่ดีในการประพฤติปฏิบัติตนยิ่งขึ้น กรมศิลปากรจึงได้จัดสัมมนาทางวิชาการรวมพลังประกาศมาตรฐานคุณธรรม จริยธรรมและจรรยาบรรณวิชาชีพขึ้น เมื่อวันศุกร์ที่ ๒๑ ธันวาคม พุทธศักราช ๒๕๕๐ ณ โรงแรมนครแห่งชาติ (โรงแรมเล็ก) และได้รวมพลังกันประกาศเจตนารมณ์โดยการถวายสัตย์ปฏิญาณประกาศตนในการยึดมั่นในมาตรฐานคุณธรรมและจริยธรรมของกรมศิลปากร และจรรยาบรรณวิชาชีพผู้ปฏิบัติงานด้านจดหมายเหตุ ดังนี้

จรรยาบรรณตนเอง

๑. รักและศรัทธาในเกียรติแห่งวิชาชีพจดหมายเหตุ

แนวปฏิบัติ

- ๑.๑ ปฏิบัติตนตามกฎหมาย กฎ ระเบียบ ข้อบังคับ และจรรยาบรรณวิชาชีพ
- ๑.๒ ปฏิบัติงานด้วยความเสียสละ อุทิศสติปัญญาและเวลาเพื่อการปฏิบัติงานอย่างเต็มกำลังความสามารถ ด้วยความภาคภูมิใจในการประกอบวิชาชีพจดหมายเหตุ
- ๑.๓ ปฏิบัติหน้าที่ด้วยความซื่อสัตย์สุจริต ไม่แสวงหาผลประโยชน์ส่วนตนในทางมิชอบจากตำแหน่งหน้าที่ราชการ

จรรยาบรรณต่อผู้ร่วมงาน

๒. เคารพในสิทธิส่วนบุคคล และมีจิตบริการ

แนวปฏิบัติ

- ๒.๑ เคารพในสิทธิความเป็นเจ้าของผลงาน ละเว้นการนำผลงานของผู้อื่นมาเป็นของตน
- ๒.๒ ให้บริการศึกษา ค้นคว้า วิจัย ต่อผู้รับบริการด้วยความเสมอภาพ สุภาพ มีน้ำใจ และมีมนุษยสัมพันธ์ที่ดี
- ๒.๓ ยอมรับฟังความคิดเห็น และแลกเปลี่ยนประสบการณ์งานจดหมายเหตุ เพื่อสร้างองค์ความรู้ และนำไปถ่ายทอดให้ผู้ร่วมวิชาชีพ และองค์กรที่เกี่ยวข้อง

จรรยาบรรณต่อวิชาชีพ

๓. ส่งเสริมองค์ความรู้ในวิชาการจดหมายเหตุให้เป็นเลิศและทันสมัยอยู่เสมอ

แนวปฏิบัติ

- ๓.๑ แสวงหาความรู้ ศึกษา ค้นคว้า พัฒนา และเพิ่มพูนความชำนาญในวิชาชีพอย่างสม่ำเสมอ
- ๓.๒ ปฏิบัติงานตามหลักวิชาการจดหมายเหตุ สร้างสรรค์ผลงานวิชาการที่มีคุณค่าและเป็นประโยชน์ต่อผู้ร่วมวิชาชีพ

จรรยาบรรณต่อสังคม

๔. เป็นผู้ดำเนินการแสวงหา รวบรวม อนุรักษ์ สืบทอด เผยแพร่ และให้บริการศึกษา ค้นคว้า วิจัย เอกสารจดหมายเหตุของชาติ

แนวปฏิบัติ

๔.๑ แสวงหาเอกสารสำคัญที่มีคุณค่าเพื่อเก็บรักษาและอนุรักษ์ไว้เป็นมรดกทางวัฒนธรรมของชาติอย่างต่อเนื่อง

๔.๒ ปกป้อง คัดกรอง สงวนรักษา และให้บริการศึกษาค้นคว้า วิจัย มาตรฐานวิชาการจดหมายเหตุ

๔.๓ ส่งเสริมและเผยแพร่ประชาสัมพันธ์งานจดหมายเหตุให้เป็นที่รู้จักแก่สาธารณชน และนำไปสร้างประโยชน์ให้แก่สังคมอย่างกว้างขวาง

ส่วนจรรยาบรรณต่อวิชาชีพนั้น ในการประชุมทั่วไปสมัยสามัญครั้งที่ ๑๓ ของสภาการจดหมายเหตุระหว่างประเทศ (International Council on Archives : ICA) ณ กรุงปักกิ่ง ประเทศสาธารณรัฐประชาชนจีน เมื่อวันที่ ๖ กันยายน พุทธศักราช ๒๕๓๙ ได้มีการสรุปหลักเกณฑ์กรอบมาตรฐานจรรยาบรรณของวิชาชีพจดหมายเหตุ เพื่อเป็นแนวทางให้ผู้ประกอบวิชาชีพจดหมายเหตุ นำไปปรับใช้ให้เหมาะสมกับนโยบายในองค์กรของตน โดยเน้นว่ากรอบมาตรฐานจรรยาบรรณนี้ นอกจากจะเป็นเครื่องช่วยกระตุ้นเตือนให้นักจดหมายเหตุตระหนักถึงภาระหน้าที่ความรับผิดชอบของตนที่มีต่อวิชาชีพแล้ว ยังจะช่วยให้สาธารณชนมีความเชื่อถือศรัทธาในวิชาชีพนี้อีกด้วย

กรอบมาตรฐานจรรยาบรรณวิชาชีพจดหมายเหตุดังกล่าว มีรายละเอียดดังนี้

๑. นักจดหมายเหตุพึงพิทักษ์ปกป้องเอกสารจดหมายเหตุในอารักขาทั้งปวงให้มีอายุยืนยาวจนเป็นที่วางใจได้ว่า เอกสารเหล่านั้นได้รับความคุ้มครองให้เป็นหลักฐานที่มีคุณค่าสำคัญทางประวัติศาสตร์ตลอดไป

: นักจดหมายเหตุมีหน้าที่หลักในการรวบรวม เก็บรักษา และอนุรักษ์เอกสารจดหมายเหตุทั้งปวงตามอำนาจที่กฎหมายกำหนดให้ แต่นักจดหมายเหตุก็ควรสังวรในเรื่องผลสืบเนื่องที่อาจเกิดขึ้นได้ทั้งในอดีต ปัจจุบันหรืออนาคต ไม่ว่าจะเป็นเรื่องข้อขัดแย้งที่อาจเกิดจากการใช้เอกสารกลุ่มพิเศษ สิทธิและผลประโยชน์ของผู้ผลิตหรือเจ้าของเอกสาร เนื้อหาข้อมูลและผู้ใช้ข้อมูล นักวิชาชีพจดหมายเหตุต้องเข้าใจในเป้าหมายของงาน อำนาจหน้าที่ และต้องปฏิบัติหน้าที่ของตนอย่างตรงไปตรงมาไม่ยอมให้อำนาจหรืออิทธิพลใดๆ มาบิดเบ่งหรือบิดเบือนข้อมูลได้

๒. นักจดหมายเหตุพึงประเมินคุณค่า เลือกคัดเอกสารสำคัญ และสงวนรักษาเอกสารจดหมายเหตุโดยรักษาคุณค่าของเอกสารทั้งในแง่คุณค่าของประวัติศาสตร์ คุณค่าด้านกฎหมาย และคุณค่าด้านการบริการให้คงอยู่และเป็นไปตามกฎเกณฑ์การจัดเก็บ สงวนรักษาจดหมายเหตุ ซึ่งอาจเป็นการจัดเรียงตามแหล่งกำเนิดของกลุ่มเอกสาร หรือใช้วิธีการจัดเรียงเอกสารตามที่หน่วยงานเจ้าของเอกสารจัดทำไว้ตั้งแต่ต้น

: นักจดหมายเหตุต้องปฏิบัติภารกิจหน้าที่ตามหลักทฤษฎีจดหมายเหตุและวิธีการปฏิบัติที่ยอมรับกันโดยทั่วไปเป็นสากลซึ่งภารกิจดังกล่าวคือการศึกษาวงจรชีวิตของเอกสารทั้งเอกสารระหว่างการปฏิบัติงานและเอกสารที่ปฏิบัติงาน รวมทั้งข้อมูลที่จัดเก็บด้วยวัสดุอิเล็กทรอนิกส์และสื่อผสมต่างๆ ตั้งแต่เริ่มการผลิตการจัดเก็บ จนถึงการจัดเอกสารออกจากสำนักงาน

<p>Code of Professional Ethics for the Archivists</p> <p>The Fine Arts Department launched the Announcement of the Fine Arts Department on morality and ethics dated May 18, B.E. 2549 as compliance to the Constitutional of the Kingdom of Thailand B.E.2550 Section 77 stating that the government organisations are required to develop the standard of morality and ethics of officials and employees to prevent corruption and misconducts and bring about efficient and effective work performance among the officials and employees. The announcement was modified and enacted on September 20, B.E. 2550 for all officials and employees to be informed and comply with. Also, in order to cultivate the knowledge, understanding and conscience to behave appropriately among the officials and employees, the Fine Arts Department organized an academic seminar to announce the standard of morality and code of ethics on Friday, 21 December B.E.2550 at National Theatre (Small Theatre) and take an oath of allegiance to commit themselves in the following standard of morality and the code of professional ethics for the archivists.</p> <p>Personal Conduct</p> <p>1. Love and faith in the dignity of the archivist</p> <p>Guideline</p> <p>1.1 An archivist shall conduct himself in compliance with the laws, regulations, orders and the code of professional ethics.</p> <p>1.2 An archivist shall perform his duties with dedication as well as devote his time, professional knowledge and abilities so as to make his work more efficient and effective, with the pride in his profession.</p> <p>1.3 An archivist shall perform his duties honestly and without seeking personal gain, and shall adhere to the professional ethics of his particular vocation where relevant</p> <p>Relations with Colleagues</p> <p>2. Respect the personal rights and have a service mind</p> <p>Guideline</p> <p>1.1 An archivist shall respect to the ownership of work and refrain from claiming as his own work and efforts of others.</p> <p>1.2 An archivist shall provide research assistance to the users with fairness, courtesy and generosity and shall exhibit good human relations.</p> <p>1.3 An archivist shall listen to other people's opinions and exchange experiences in archives to create knowledge bodies and transfer among his colleagues and relevant agencies</p> <p>Commitment to the profession</p> <p>3. Accumulate knowledge in archives for the excellence and in an up-to-date manner.</p> <p>Guideline</p> <p>1.1 An archivist shall be eager to learn, study, research, develop and enhance skills and expertise continuously for the improvements in work procedures.</p> <p>1.2 An archivist shall follow the academic theory as well as create the valuable and useful piece of academic work.</p>	<p>Relations with the Public and with Society</p> <p>4. Take the leadership role in finding, collecting, preserving, inheriting and providing research service on the nation's archival records</p> <p>Guideline</p> <p>4.1 An archivist shall seek to find the valuable and important records for preservation and conservation as the cultural heritage for the nation.</p> <p>4.2 An archivist shall protect, preserve and provide research service and academic archives standards.</p> <p>4.3 An archivist shall promote and publicize the archives work to be well-known among the general public and can be used extensively for the benefit of the nation.</p> <p>As for the Code of Professional Ethics for the Archivists, the 18th General Assembly of International Council on Archives (ICA) in Beijing, Republic of China on September 6, B.E. 2539, finalised the standard of morality and code of ethics as a guideline for archivists and allow it to be adjusted befitting each organisation's policy. Apart from stimulating archivists to be aware of the professional responsibility, this standard also enhances the faith and credibility of the general public.</p> <p>The Standard for Code of Professional Ethics for Archivists</p> <p>1. Archivists shall protect archives in possession so that they can have long lasting usage life and the archivists can earn the trust that those records are securely preserved as the evidence with historical value.</p> <p>Archivists have main responsibility in collecting, maintaining, and conserving all types of archival records as determined by the laws. However, the archivists should also be aware of the possible consequences that they could face in the past, present and future regarding the conflict resulting from using special records, the rights and advantage of the records producers or owners, the content of the records and the records users. Therefore, archivists must understand the goals of the assigned job and responsibility as well as perform their duties straightforwardly without compromising to any powers or influences to hide or distort the information.</p> <p>2. Archivists shall appraise the value, select the important records by retaining the value in terms of history, law and service as well as complying with the retention and preservation regulations. The categorization may be based on the origins of the records or the initial arrangement made by the organisations that own the records.</p> <p>The archivist shall perform the duties according to academic theory and international work standard. Such responsibilities involve studying the life cycle of the records for both current and non-current records as well as records in electronic form and mixed media form from the beginning (the production, the retention, and the disposal of the records).</p>
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Appendix 12

The users' statistics of the NAT from 2003 to 2012

The author was allowed by the Director of the NAT to write down the raw data of statistics of the users of the NAT in each year from 2003 to 2012. After that the author created the table to present the data as shown below.

	2003
Thai users	1955
Foreign users	32
total	1987
	2003
Reading services	
records (number of users)	733
records (number of times)	6184
records (number of subjects)	92406
microfilms (number of users)	441
microfilms (number of times)	2801
microfilms (number of subjects)	280100
government publications & rare books (number of users)	36
government publications & rare books (number of times)	56
government publications & rare books (number of subjects)	241
books (users)	122
books (times)	305
books (subjects)	346
photographs	11469
maps	258
reproduction services	
records	50577
microfilms	
black-white photos	7310
slides	133
maps	285
colour photos	3533
researching (number of times)	23
giving a tour	
Thai organisations (number of units)	35
Thai organisations (number of people)	1290
Foreign organisations (number of units)	6
Foreign organisations (number of people)	21

	2004
Thai users	1604
Foreign users	30
total	1634
Level of education	
doctoral degree	66
master degree	409
bachelor degree	840
under bachelor degree	61
prefer not to say	258
total	1634
organisations	
government agencies	472
state enterprises	21
temples	15
students	608
private sector	286
public	211
unidentified	21
total	1634
research topics	
history	1032
economics/politics/social sciences	38
photos/maps	435
motion pictures	97
anonymous subjects	32
total	1634

	2005	2006	2007	2008	2009	2010	2011	2012
Thai users								
male	952	867	785	784	809	716	669	713
female	889	917	887	887	980	801	670	831
Foreign users								
male	13	23	42	35	40	32	39	39
female	2	7	8	5	5	5	9	10
total	1856	1814	1722	1711	1834	1554	1387	1593
Level of education								
doctoral degree	61	72	75	91	106	90	100	109
master degree	456	459	470	493	462	435	426	449
bachelor degree	1003	1011	901	931	1098	897	729	926
under bachelor degree	88	116	119	101	120	97	98	78
prefer not to say	248	156	157	95	48	35	34	31
total	1856	1814	1722	1711	1834	1554	1387	1593
organisations								
government agencies	462	525	519	418	499	424	479	506
state enterprises	36	22	32	39	37	8	26	28
private sector	320	250	231	341	252	243	234	221
students	652	673	641	649	742	639	477	631
public	291	322	261	248	282	217	154	176
temples/monks	37	13	29	11	20	13	13	19
unidentified	58	9	9	5	2	10	4	6
lawyers								5
charities/associations								1
total	1856	1814	1722	1711	1834	1554	1387	1593
research topics								
history	994	772	717	572	464	661	594	618
economics/politics/social sciences	132	219	253	392	542	309	174	264
photos/maps	533	610	635	639	754	509	525	585
motion pictures	120	74	55	90				
photos/records	71	100	48	16	72	75	94	123
anonymous subjects	6	39	14	2	2			3
total	1856	1814	1722	1711	1834	1554	1387	1593

Appendix 13

The data from questionnaire ‘Opinion of user towards the National Archives of Thailand and its branches’ of 2014

English summary prepared by the author, Pimphot Seelakate

The questionnaire ‘Opinion of user towards the National Archives of Thailand and its branches’ (see Appendix 3)

The questionnaire aims to explore the current condition and levels of efficiency in archival operation at the NAT through user’s opinion. The author highlighted the highest rate of responses of each question in blue colour.

Statement about roles of the NAT

The answers of the respondents about their opinions towards the profile of the National Archives of Thailand show whether they agree with these statements or not.

#	Strongly disagree	Disagree	Agree	Strongly agree	no comment	Blank	Total
1. The archive preserves authentic primary evidence of the past.	1		26	45			72
2. The archive is a treasure house of knowledge since it explains the history of the nation through documents, photographs, moving images, and sound recordings.			29	43			72
3. The archive strengthens community’s identity and development by giving a wider understanding of different cultures and contribution of these cultures to the past and present.		4	46	19	2	1	72
4. The archive enables us to gain identity by giving the proof of status and connecting us with a wider cultural context.		4	43	23	1	1	72
5. The archive promotes		3	38	29	2		72

lifelong learning and educational accomplishment.							
6. The archive contributes to preserving our culture by providing a framework for understanding the past.			35	37			72
7. The archive promotes democracy by preserving primary evidence used for investigating for transparency in governance.		1	35	36			72

Statement about general overview

#	Strongly disagree	Disagree	Agree	Strongly agree	no comment	Blank	Total
8. You think that archives you used are valuable and deserved to be preserved at the NAT.	0	4	26	42	0	0	72
9. The administration and management under the NAT are well implemented.	4	28	28	8	4	0	72
10. The process of service is well established: reader registration, ordering and returning documents, obtaining duplications.	4	4	46	17	1	0	72
11. You must register, have a reader card, and deposit your belonging before going to the reading	1	6	36	28	1	0	72

room.							
12. There are policy and rule in order that user is careful when using/reading archives.	2	7	39	20	4	0	72
13. Some information is disclosed under Data Protection law	1	9	33	14	15	0	72
14. The image and reputation of the NAT are acceptable in user' eyes.	7	12	38	14	1	0	72
15. The relationship between the National Archives and users is supportive.	6	6	42	16	2	0	72

#	Text response
8	UP6เห็นด้วยแต่ควรทำเป็นเอกสารอิเล็กทรอนิกส์เพื่อสะดวกในการค้นคว้าสำหรับผู้ที่อยู่ห่างไกล อีกทั้งยังรักษาเอกสารให้นานยิ่งขึ้น
10	UP26 ควรทำให้ทันสมัย
13	UP3 ไม่มีประสบการณ์การยืมจดหมายเหตุที่เป็นความลับ

The accommodation and facilities

#	Strongly disagree	Disagree	Agree	Strongly agree	no comment	Blank	Total
16. The locker and reference service are placed in easily accessible area.	0	9	42	18	3	0	72
17. The reading room, including microfilm reading room and temporary repository, is wide and well arranged.	3	7	39	14	9	0	72
18. The reading room is suitable for reading/using original archives/duplications (e.g. clean,	2	10	34	15	9	2	72

temperature controlled)							
19. The reading room, including microfilm reading room, has appropriate noise levels and study environment.	2	5	41	14	8	2	72
20. AV players, microfilm readers, and computers are adequately equipped.	5	15	36	3	13	1	72
21. AV players, microfilm readers, and computers are effective and useful.	5	13	38	4	11	1	72
22. The number of seats in reading room is adequate.	1	6	47	17	1	0	72
23. The materials for keeping the archives such as file, folder, box, are suitable according to types of archives.	5	7	37	16	6	1	72
24. The fire extinguisher is installed in easily noticeable and accessible area.	0	11	28	16	15	2	72
25. There is staff responsible for security in active service during opening hours.	0	8	42	18	4	0	72
26. The NAT is conveniently located and accessible to users.	4	9	37	21	1	0	72

#	Text response
17	UP34 น่าจะเพิ่มพื้นที่สำหรับจอดมากกว่านี้
18	UP30 ห้องไมโครฟิล์มมีแสงไม่เหมาะสม
19	UP29 เสียงแอร์ดังบ้าง แต่อยู่ในระดับที่ยังไม่นำรำคาญ
24	UP29 ยังไม่เห็นและหรือเพราะอาจจะไม่สังเกต UP32 ไม่ได้สังเกต

The archive service of the NAT

#	Strongly disagree	Disagree	Agree	Strongly agree	no comment	Blank	Total
27. Staff is knowledgeable and has experience in this service.	0	6	42	23	1	0	72
28. There is enough staff to serve.	1	10	45	14	2	0	72
29. Staff serves users equally.	1	2	45	18	5	1	72
30. Service processes and policy are clearly explained to you.	0	3	46	22	1	0	72
31. Staff introduces you about how to search and use the archives.	1	1	41	27	1	1	72
32. The staff can answer your question and give suggestion correctly.	1	0	47	23	1	0	72
33. The staff checks the quality and condition of the archives/duplications before and after use.	1	2	37	22	10	0	72
34. There are services delivered to user as stated in the policy.	0	3	45	18	4	2	72
35. If the archives have been using by other user, the staff can advise you to use other similar archives.	1	5	38	12	16	0	72
36. You are able to find specific records and items of interest in the archive.	2	4	50	14	2	0	72
37. The right in access, policy and rule for using the archives is appropriate.	1	7	45	15	3	1	72
38. You always deposit your belonging before going to reading room.	1	3	32	29	6	1	72

39. You found the archives is damaged or in bad condition before use.	5	15	29	5	16	2	72
40. You receive the archives or the duplication you request on time.	1	3	39	15	11	2	71 error = 1 UP1
41. The duplication you request is clear, complete, and correct.	0	1	41	20	8	2	72
42. You are not allowed to bring archives out of the reading room.	1	0	22	42	6	1	72
43. There is enquiry service via telephone, post, and email	3	9	21	6	30	3	72

#	Text response
35	UP32ยังไม่มีประสบการณ์ด้านนี้
37	UP6ไม่เห็นด้วยในเรื่องค่าบริการไฟฟ้าหากมีการใช้คอมพิวเตอร์ มีความเห็นว่าแพงเกินไป UP33ค่าถ่ายเอกสารสำหรับคนต่างชาติสูงเกินไป
39	UP25 เคยเจอบ้างแต่น้อยมาก
41	UP32มีบางส่วนไม่ชัดเจนเหมือนกัน
43	UP4 ยังไม่เคยใช้บริการ

The resources at the NAT

#	Strongly disagree	Disagree	Agree	Strongly agree	no comment	Blank	Total
44. New collections of archives are continuously provided for user.	3	12	26	7	24	0	72
45. New duplicates of microfilm are continuously produced for user.	4	9	28	8	22	1	72
46. Reference books and publications are provided adequately and up to date.	5	10	37	6	13	1	72
47. List guides, abstracts, manual guides, and indices	2	10	48	8	3	1	72

are provided as finding aids.							
48. Details in finding aids are complete and correct.	2	10	42	14	4	0	72
49. Users are able to navigate to higher/lower levels of description.	0	10	48	10	4	0	72
50. List guides are helpful for exploring content of archives extensively.	2	6	47	12	5	0	72
51. Titles appeared in list guide are precise to content of archives.	0	8	45	14	5	0	72
52. Subject headings/keywords in list guide are capable to show relation of the archives hierarchically.	2	3	51	12	4	0	72
53. Finding aids are systematically arranged on shelves.	1	3	48	14	5	1	72
54. A collection of archives are logically grouped and appropriately arranged by subject headings.	0	4	45	14	8	1	72
55. Archive has subject headings/keywords that cover its content.	1	12	41	9	9	0	72

#	Text response
46	UP30 ไม่ทันสมัย UP32 ไม่ค่อยได้ใช้
47	UP29 อยากให้มีการสืบค้นด้วยคอมพิวเตอร์ UP33 ขอให้มีการพัฒนาภาษาไทยไว้สำหรับคนต่างชาติ UP34 บัญชีสำรวจน่าจะทำเป็นระบบคอมพิวเตอร์
51	UP29 บางทีก็ตรง แต่บางทีก็มีเอกสารที่ไม่เกี่ยวข้องแทรกอยู่ในแฟ้ม
52	UP29 การเรียงลำดับเรื่องหรือวันที่ยังไม่เป็นลำดับดีในเอกสารบางชิ้น
53	UP10 ขาดระบบdigitalทั้งหมด
54	UP29 การเรียงลำดับเรื่องหรือวันที่ยังไม่เป็นลำดับดีในเอกสารบางชิ้น

Personal Information of respondents

56. How long have you been using/visiting the National Archives of Thailand?

#	Answer	Code	Response	%
1	Less than 1 year	UP11 UP12 UP20 UP22 UP23 UP28 UO37 UO42 UO43 UO45 UO48 UO49 UO50 UO51 UO55 UO58 UO61	17	
2	1 – 5 year(s)	UP2 UP6 UP7 UP14 UP17 UP24 UP26 UP29 UP30 UP34 UP35 UP36 UO39 UO53 UO54 UO56 UO57 UO59 UO60 UO63 UO64 UO65 UO67 UO68 UO69 UO72	26	
3	6 – 10 years	UP4 UP9 UP16 UP25 UO40 UO62 UO70 UO71	8	
4	11 – 15 years	UP3 UP10 UP27 UP31 UO41 UO52	6	
5	More than 15 year(s)	UP5 UP8 UP13 UP15 UP21 UP32 UP33 UO38 UO44 UO46 UO66	11	
6	Blank	UP1 UP18 UP19	3	
7	Error	UO47	1	
	Total		72	

57. How long have you been using/visiting the National Archives of Thailand?

#	Answer	Code	Response	%
1	more than once a week	UP6 UP16 UP26 UP27 UP29 UP32 UP33 UP34 UO39 UO57	10	
2	once a week	UP5 UP7 UP24 UO44	4	
3	once a month	UP2 UP9 UP13 UP35 UO40 UO60	6	
4	once a year	UP8 UP10 UP11 UP12 UP17 UP21 UP22 UP23 UP28 UO41 UO42 UO43 UO45 UO46 UO47 UO50 UO51 UO58 UO59 UO63 UO64 UO67 UO68 UO69 UO70 UO71 UO72	27	
5	other (please specify)	UP3 UP4 UP14 UP15 UP18 UP19 UP20 UP25 UP30 UP31 UP36 UO37 UO38 UO48 UO49 UO52 UO53 UO54 UO55 UO56 UO61 UO62 UO65 UO66	24	
6	Blank	UP1	1	
	Total		72	

#	Text response
5	UP3 ตามสะดวก UP4 3-4/year UP14 ตามงาน UP15 หากใช้อ่านก็จะค้นคว้าต่อเนื่อง UP18 เมื่อต้องการข้อมูล

UP19	เมื่อต้องการข้อมูล
UP20	เพิ่งเข้ามาใช้ครั้งแรก
UP25	ไม่แน่นอนบางเดือนอาจไม่ได้ใช้บริการ แต่บางสัปดาห์อาจมากกว่า ๑ ครั้ง
UP30	๓-๔ ครั้งต่อเดือน
UP31	ขึ้นอยู่กับเวลาของการทำวิจัย
UP36	๒ ปีครึ่ง
UO37	เมื่อมีความต้องการใช้เอกสารที่จดหมายเหตุเท่านั้น
UO38	ไม่แน่นอน
UO48	ตามโอกาส
UO49	นาน ๆ ครั้ง
UO52	ใช้ตอนสมัยเรียนหนังสือ
UO53	น้อยกว่าปีละครั้ง เข้าใช้เมื่อต้องทำรายงาน
UO54	3-4 เดือนครั้ง
UO55	ใช้ในช่วงระยะเวลาที่ค้นคว้าเป็นระยะเวลา 2 เดือนแต่เข้าใช้บริการทุกวัน
UO56	ขึ้นอยู่กับงาน ไม่สามารถเฉลี่ยความถี่ได้
UO61	เคยไปแค่เพียงครั้งเดียว
UO62	ใช้สมัยเรียน พอทำงานก็ได้ใช้อีก
UO65	เป็นครั้งคราวเมื่อจำเป็น
UO66	เมื่อมีความจำเป็นต้องค้นคว้าเรื่องอดีต

58. Which of the following reason for you to go to an archive for?

#	Answer	Code	Response	%
1	to find out if there is anything in there about me	UP1 UP4 UP7 UP10 UP21 UP22 UP23 UP24 UP25	9	
2	to find out about family history	UP4 UP10 UP21 UP22 UP23 UO64	6	
3	to find out about history of local area/town/village	UP4 UP5 UP6 UP17 UP25 UP30 UP35 UP36 UO37 UO42	10	
4	to find out about history for leisure/personal interest	UP5 UP6 UP7 UP9 UP10 UP17 UP19 UP24 UP25 UP26 UP29 UP32 UP35 UO37 UO39 UO42 UO50 UO51 UO54 UO58 UO60 UO61 UO63 UO66 UO69	25	
5	to research a topic for publication/qualification	UP2 UP3 UP5 UP6 UP7 UP8 UP9 UP10 UP11 UP12 UP13 UP15 UP16 UP18 UP20 UP24 UP25 UP26 UP27 UP28 UP29 UP30 UP31 UP32 UP33 UP34 UP35 UP36 UO37 UO39 UO40 UO41 UO43 UO44 UO45 UO46 UO47 UO48 UO49 UO51 UO52 UO53 UO54 UO55 UO56 UO57 UO58 UO59 UO60 UO62 UO63 UO64 UO65 UO67 UO68 UO69 UO70 UO71 UO72	59	
6	to give or deposit		0	

	something to an archive			
7	I do not wish to visit the NAT.		0	
8	other (please specify)	UP14 UO38	2	
9	Blank		0	
	Total		72	

#	Text response
8	UP14 งานราชการ UO38 ศึกษาแนวทางการปฏิบัติงานหอจดหมายเหตุ

59. Which of the suggestions would be most likely to encourage you to keep using/visiting the NAT in the future?

#	Answer	Code	Response	%
1	Being able to access/find out about archives on the internet	UP2 UP3 UP5 UP6 UP7 UP8 UP9 UP10 UP11 UP12 UP13 UP14 UP15 UP16 UP18 UP19 UP20 UP24 UP25 UP26 UP27 UP28 UP29 UP30 UP31 UP32 UP33 UP34 UP35 UP36 UO37 UO38 UO39 UO41 UO42 UO44 UO45 UO46 UO47 UO48 UO50 UO51 UO52 UO54 UO55 UO56 UO57 UO58 UO59 UO60 UO61 UO62 UO63 UO64 UO65 UO66 UO67 UO68 UO69 UO70 UO71 UO72	62	
2	If archives were available at a place near you	UP2 UP9 UP10 UP11 UP12 UP15 UP21 UP22 UP23 UP25 UP28 UP29 UP36 UO37 UO39 UO42 UO49 UO51 UO52 UO56 UO60 UO61 UO63 UO66 UO68	25	
3	If there were facilities available for disabled	UP4 UP5 UP11 UO43 UO47 UO49 UO50 UO54 UO56 UO58 UO60 UO63	12	
4	Being able to see examples of the records the NAT holds on the website	UP2 UP3 UP4 UP6 UP7 UP9 UP10 UP11 UP12 UP13 UP17 UP24 UP25 UP26 UP28 UP29 UP30 UP31 UP33 UP34 UP35 UO37 UO38 UO39 UO40 UO41 UO42 UO43 UO44 UO45 UO47 UO49 UO50 UO54 UO55 UO56 UO57 UO58 UO59 UO61 UO62 UO63 UO64 UO65 UO66 UO69 UO70 UO71 UO72	49	
5	If there are more new collections of archives provided	UP1 UP3 UP4 UP5 UP6 UP11 UP12 UP14 UP21 UP22 UP23 UP24 UP25 UP26 UP27 UP29 UP31 UP32 UP33 UP34 UO38 UO40 UO42 UO49 UO53	25	
6	If there is delivery service by post for	UP3 UP4 UP6 UP7 UP11 UP12 UP17 UP30 UP31 UP32	27	

	reproduction	UP36 UO37 UO39 UO40 UO46 UO47 UO55 UO56 UO58 UO60 UO61 UO63 UO66 UO67 UO68 UO69 UO71		
7	Other (please specify)	UO56	1	
8	Blank		0	
	Total		201	

#	Text response
7	UO56 อ่านหรือดูเอกสารผ่านไฟล์ดิจิทัลได้ (ภายในหอจดหมายเหตุแห่งชาติ) แทนการใช้ต้นฉบับตัวจริงและแทนการหมุนไมโครฟิล์ม

60. Apart from the National Archives of Thailand, have you ever used/visited other archives?

#	Answer	Code	Response	%
1	No, I have never used/visited other archives.	UP1 UP2 UP5 UP7 UP10 UP11 UP12 UP13 UP15 UP17 UP20 UP21 UP22 UP23 UP24 UP26 UP27 UP30 UP34 UP36 UO38 UO42 UO45 UO46 UO47 UO48 UO50 UO52 UO53 UO63 UO65 UO68	32	
2	Yes, I have used/visited local archives.	UP6 UP33 UO37 UO41 UO51 UO61 UO66	7	
3	Yes, I have used/visited university archives.	UP6 UP8 UP9 UP16 UP18 UP19 UP25 UP28 UP29 UP31 UP32 UP33 UP35 UO37 UO40 UO43 UO44 UO49 UO51 UO54 UO55 UO57 UO58 UO59 UO60 UO62 UO66 UO67 UO69 UO72	30	
4	Yes, I have used/visited business archives.	UP29 UO39 UO69 UO71	4	
5	Yes, I have used/visited other archives (please specify)	UP25 UP31 UO39 UO56 UO64 UO70	6	
6	Blank	UP3 UP4 UP14	3	
	Total		82	

#	Text response
5	UP25 หอจดหมายเหตุแห่งชาติเฉลิมพระเกียรติรัชกาลที่ ๙ UP31 หน่วยงานราชการ UO39 หอจดหมายเหตุแห่งชาติสาธารณรัฐเช็ก UO56 หอจดหมายเหตุห้องสมุดคณะรัฐมนตรี UO70 ศูนย์มานุษยวิทยาสิรินธร (องค์กรมหาชน)

61. Gender

#	Answer	Code	Response	%
1	Male	UP1 UP3 UP5 UP8 UP10 UP11 UP14 UP15 UP16 UP17 UP18 UP25 UP31 UP33 UP34 UP36 UO43 UO44 UO48 UO50 UO59 UO60 UO63 UO66 UO70 UO72	26	
2	Female	UP2 UP4 UP6 UP7 UP9 UP12 UP13 UP19 UP20 UP21 UP22 UP23 UP24 UP26 UP27 UP28 UP29 UP30 UP32 UO37 UO38 UO39 UO40 UO41 UO42 UO45 UO46 UO47 UO49 UO51 UO52 UO53 UO54 UO55 UO56 UO57 UO58 UO61 UO62 UO64 UO65 UO67 UO68 UO69 UO71	45	
3	Blank	UP35	1	
	Total		72	

62. Status

#	Answer	Code	Response	%
1	students	UP6 UP7 UP11 UP12 UP16 UP17 UP21 UP22 UP23 UP24 UP26 UP28 UP30 UP34 UO43 UO51 UO55 UO56 UO57 UO58 UO59 UO60 UO63 UO65 UO67	25	
2	teachers, lecturers	UP8 UP18 UP31 UP33 UP36 UO37 UO46 UO54 UO61 UO64 UO71	11	
3	researchers	UP20 UP25 UO40 UO44	4	
4	academics	UP2 UP9 UP13 UP32 UP35 UO62 UO72	7	
5	other (please specify)	UP1 UP3 UP4 UP5 UP14 UP15 UP19 UP27 UP29 UO38 UO39 UO41 UO42 UO45 UO47 UO48 UO49 UO50 UO52 UO53 UO66 UO68 UO69 UO70	24	
6	Blank	UP10	1	
	Total		72	

#	Text response
5	UP1 นักประชาสัมพันธ์ UP3 โสด UP4 ธุรกิจส่วนตัว UP5 รับจ้าง UP14 ราชการ UP15 ทำงานอิสระทางศิลป UP19 นักธุรกิจ UP27 ข้าราชการ UP29 อาชีพอิสระ

UO38 ผู้ปฏิบัติงานจดหมายเหตุ
UO39 นักจดหมายเหตุอิสระ
UO41 พนักงานบริษัท
UO42 ข้าราชการ
UO45 พนักงานมหาวิทยาลัย
UO47 พนักงานบริษัท
UO48 ข้าราชการ
UO49 นักเอกสารสนเทศ
UO50 ข้าราชการ
UO52 แม่บ้าน
UO53 พนักงานบริษัท
UO66 รับราชการ
UO68 เจ้าหน้าที่โครงการ
UO69 พนักงานบริษัท
UO70 พนักงานเอกชน

63. Age

#	Answer	Code	Response	%
1	Under 18			
2	18 – 24 years	UP6 UP7 UP11 UP12 UP17 UP21 UP22 UP23 UP24 UP28 UP34 UO51 UO55 UO56 UO58 UO60 UO65 UO68	18	
3	25 – 34 years	UP1 UP14 UP16 UP26 UP29 UP30 UP36 UO37 UO41 UO42 UO44 UO45 UO47 UO48 UO53 UO57 UO59 UO61 UO63 UO67 UO69 UO70	22	
4	35 – 44 years	UP2 UP3 UP13 UP20 UP25 UP27 UP31 UO40 UO43 UO50 UO52 UO62 UO64 UO71 UO72	15	
5	45 – 54 years	UP5 UP8 UP9 UO38 UO39 UO46 UO49 UO54	8	
6	55 – 64 years	UP4 UP10 UP15 UP32 UP33 UP35 UO66	7	
7	More than 64 years	UP18 UP19	2	
8	Blank		0	
	Total		72	

64. Level of education

#	Answer	Code	Response	%
1	Senior High School	UP25	1	
2	Vocational Certificate		0	
3	High Vocational Certificate		0	
4	Technical Certificate		0	
5	Bachelor Degree	UP1 UP3 UP4 UP5 UP7 UP11 UP12 UP15 UP19 UP20 UP21 UP22 UP23 UP24 UP27	28	

		UP28 UO41 UO42 UO45 UO47 UO49 UO50 UO51 UO53 UO56 UO60 UO69 UO70		
6	Master Degree	UP2 UP6 UP9 UP10 UP13 UP14 UP16 UP17 UP18 UP26 UP29 UP30 UP32 UP33 UP34 UP35 UP36 UO37 UO38 UO39 UO40 UO43 UO46 UO48 UO52 UO54 UO55 UO57 UO58 UO59 UO61 UO62 UO63 UO65 UO66 UO67 UO68 UO71 UO72	39	
7	Doctor of Philosophy	UP8 UP31 UO44 UO64	4	
8	Blank		0	
	Total		72	

Appendix 14

The data from questionnaire 'Opinion of non-user towards the NAT and its branches' of 2014

English summary prepared by the author, Pimphot Seelakate.

The questionnaire 'Opinion of non-user towards the NAT and its branches' aims to explore the opinions of Thai people towards values of archives and why they have never visited the NAT through opinions of people who have never visited or used the archival services of the NAT (see Appendix 4). The author highlighted the highest rate of responses of each question in blue colour.

1. What reasons have you not used/visited archives?

#	Answer	Response	%
1	I do not know what information the NAT has.	106	20.74
2	I do not know where the NAT is.	97	18.98
3	I do not have time.	85	16.63
4	Archives are not relevant to me.	67	13.11
5	I am not interested in archives.	61	11.94
6	I do not know what an archive is.	58	11.35
7	The NAT is not opened when I want to visit.	20	3.91
8	Other (please specify)	17	3.33
9	Blank	0	
	Total	511	100

2. Apart from the NAT, have you ever used/visited other archives?

#	Answer	Response	%
1	No, I have never used/visited other archives.	187	76.95
2	Yes, I have used/visited local archives.	14	5.76
3	Yes, I have used/visited university archives.	31	12.75
4	Yes, I have used/visited business archives.	5	2.05
5	Yes, I have used/visited other archives (please specify)	6	2.47
6	Blank	0	0
	Total	243	100

3. Which of the suggestions would be most likely to encourage you to keep using/visiting the NAT in the future?

#	Answer	Response	%
1	Being able to access/find out about archives on the internet	183	28.82
2	Being able to see examples of the records they hold	145	22.83
3	Making information available about what there is and where to start looking	141	22.2
4	If archives were available at a place near you	71	11.18
5	Guidance/advice about using archives from an experienced user	46	7.24
6	Staff from the archive promotes the NAT in your community/area	28	4.41
7	If there were facilities available for disabled	14	2.2
8	None, I will not use/visit archives.	4	0.63
9	Other (please specify)	3	0.47
10	Blank	0	
	Total	201	

4. Which of the following things do you think you might want to go to an archive for?

#	Answer	Response	%
1	To find out about history for leisure/personal interest	148	25.56
2	To research a topic for publication/qualification	144	24.87
3	to find out if there is anything in there about me	82	14.16
4	To find out about family history	79	13.64
5	To find out about history of local area/town/village	74	12.78
6	to give or deposit something to an archive	47	8.12
7	I do not wish to visit the NAT.	2	0.35
8	other (please specify)	3	0.52
9	Blank	0	0
	Total	579	100

Statement about profile of the NAT

The answers of the respondents about their opinions towards the profile of the National Archives of Thailand show whether they agree with these statements or not.

#	Strongly disagree	Disagree	Agree	Strongly agree	no comment	Blank	Total
5. The archive preserves authentic primary evidence of the past.	4	2	82	118	18	0	224
6. The archive is a treasure house of knowledge since it explains the history of the nation through documents, photographs, moving images, and sound recordings.	1	2	78	118	25	0	224
7. The archive strengthens community's identity and development by giving a wider understanding of different cultures and contribution of these cultures to the past and present.	3	3	91	108	19	0	224
8. The archive enables us to gain identity by giving the proof of status and	2	6	99	90	27	0	227

connecting us with a wider cultural context.							
9. The archive promotes lifelong learning and educational accomplishment.	2	11	94	98	19	0	224
10. The archive contributes to preserving our culture by providing a framework for understanding the past.	0	6	80	127	11	0	224
11. The archive promotes democracy by preserving primary evidence used for investigating for transparency in governance.	1	4	94	104	21	0	224

12. Gender

#	Answer	Response	%
1	Male	65	29.02
2	Female	159	70.98
3	Blank	0	0
	Total	224	100

13. Age

#	Answer	Response	%
1	Under 18	1	0.45
2	18 – 24 years	53	23.66
3	25 – 34 years	73	32.59
4	35 – 44 years	31	13.84
5	45 – 54 years	37	16.52
6	55 – 64 years	29	12.95
7	More than 64 years	0	0
8	Blank	0	0
	Total	224	100

14. What is the highest level of education that you have completed?

#	Answer	Response	%
1	Senior High School	4	1.79
2	Vocational Certificate	1	0.45
3	High Vocational Certificate	2	0.89
4	Technical Certificate	0	0

5	Bachelor Degree	133	59.38
6	Master Degree	76	33.93
7	Doctor of Philosophy	5	2.23
8	Other	3	1.34
9	Blank	0	0
	Total	224	100

Appendix 15

The data from questionnaire 'Records and archives operation in government agency' of 2014

English summary prepared by the author, Pimphot Seelakate.

For the questionnaire see Appendix 2. For data protection, the author removed information to anonymise the data so any respondents cannot be identified from this survey.

	Ministry of Culture	Ministry of Foreign Affairs	Ministry of Defence	Office of the Prime Minister	Ministry of Finance	Ministry of Information and Communication Technology	Ministry of Labour
The respondents who wish to participate in further interview	P1 P3 P5	P6 P7 P8 P16	P12 P14 P19 P27	P28 P29	P33 P34 P35 P36	P39 P40	
The respondents who do not wish to participate in further interview	P44	P9	P10 P11 P15 P17 P18 P20 P21 P22 P23 P24 P25 P26	P30 P31 P32 P43	P37	P38	P41 P42
Blank	P2 P4		P13				
Total	6	5	17	6	5	3	2

1. Recordkeeping operations in your office

1. Could you please explain the organisational structure of your office under the ministry? (Please attach an organisational or functional chart if possible)

#	Answer	Code	Response	%
1	the organisational structure of your office under the ministry	P1(text response) P2(text response) P3(text response) P6(text response) P7(text response) P8(text response) P9(text response) P10(text response) P12(text response) P13(text response) P14(text response) P15(text response) P16(text response) P17(text response) P18(text response) P19(text response) P20(text response) P21(text response) P22(text response) P24(text response) P25(text response) P26(text response) P27(text response) P28(text response) P31(text response) P32(text response) P33(text response) P34(text response) P36(text response) P37(text response) P39(text response) P40(text response) P41(text response) P42(text response) P44(text response)	35	79.55%
2	Blank	P4 P5 P11 P23 P29 P30 P35 P38 P43	9	20.45%
	Total		44	100%

2. There areemployee(s) who is/are responsible for records and archives management in your office.

#	Answer	Code	Response	%
1	There areemployee(s) who is/are responsible for records and archives management in your office	P1 3 pp(text response) P2 3 pp(text response) P3 4 pp(text response) P5 6 pp(text response) P6 16 pp(text response) P7 16 pp(text response) P8 22 pp(text response) P9 5 pp(text response) P10 3 pp(text response) P11 3 pp(text response) P12 10 pp(text response) P13 4 pp(text response) P14 7 pp(text response) P15 4 pp(text response) P16 1 p(text response) P17 3 pp(text response) P18 3 pp(text response) P19 4 pp(text response) P20 1 p(text response) P21 25 pp(text response) P22 6 pp(text response) P23 1p(text response) P24 2 pp(text response) P25 7 pp(text response) P26 1 p(text response)	39	88.64%

		P27 5 pp(text response) P28 (text response) P29 2 pp(text response) P31 2 pp(text response) P32 65 pp(text response) P33 2 pp(text response) P34 14 pp(text response) P35 3 pp(text response) P36 5 pp(text response) P37 25 pp(text response) P39 2 pp(text response) P40 1 p(text response) P41 2pp(text response) P43 5 pp(text response)		
2	Blank	P4 P30 P38 P42 P44	5	11.36%
	Total		44	100%

Statistic	value
Min value	1 person
Max value	65 people

3. Have the employees in your office ever been taught or trained in these knowledge and skills?

#	Answer	Code	Response	%
1	Records management	P1 P2 P3 P5 P6 P7 P8 P9 P10 P12 P13 P14 P15 P16 P17 P18 P19 P21 P24 P25 P27 P28 P29 P30 P31 P32 P33 P35 P37 P38 P39 P40 P42 P43	34	77.27%
2	Archival sciences	P6 P7 P8 P9 P11 P13 P15 P16 P17 P18 P19 P24 P28 P35 P37	15	34%
3	Quality control	P5 P8 P9 P10 P24 P37 P43	7	15.9%
4	Computer technology	P1 P2 P3 P5 P6 P8 P9 P10 P12 P13 P14 P15 P18 P22 P24 P25 P28 P29 P30 P31 P32 P33 P35 P36 P37 P38 P39 P42 P43 P44	30	68.18%
5	Other, please specify	P6 P9 P10 P20 P36 P37	6	13.63%
6	Blank	P4	1	2.27%
	Total		93	

#	Text response
1	P2การฝึกอบรมเรื่องการจัดการเอกสารตามระเบียบสำนักงานกษ P3ภายนอกหน่วยงาน P5ฝึกอบรม P6ดูงานที่หอจดหมายเหตุ กรมศิลปากร P7เข้าร่วมประชุมในโอกาสต่างๆที่หอจดหมายเหตุจัด P8การแบ่งหมวดหมู่ จัดเรียงตามหัวเรื่องและระยะเวลา P10ฝึกอบรมด้านสารบรรณ (เกี่ยวกับหนังสือราชการ) P12อบรมในห้องเรียน P13อบรม/สัมมนา/ดูงานหอจดหมายเหตุ P15สำนักหอจดหมายเหตุแห่งชาติ (อบรม) P16การอบรมสัมมนา ดูงานที่หอจดหมายเหตุ

	<p>P17ดูงานที่สำนักหอจดหมายเหตุแห่งชาติ</p> <p>P18อบรมเชิงปฏิบัติการงานอนุรักษ์เอกสารจากหอจดหมายเหตุแห่งชาติ</p> <p>P19ร่วมอบรมสัมมนากับหอจดหมายเหตุแห่งชาติและส่วนราชการอื่น</p> <p>P21จากการศึกษาหลักสูตรอาชีพตาม ๖ ชั้นยศ</p> <p>P24เป็นการอบรม การเรียนการสอน ลักษณะเป็นรุ่น</p> <p>P25อบรมการปฏิบัติงานด้านเอกสาร</p> <p>P27ฝึกอบรม</p> <p>P28เชิญวิทยากรผู้เชี่ยวชาญมาให้ความรู้แก่เจ้าหน้าที่เกี่ยวข้อง</p> <p>P29รับฟังการบรรยาย</p> <p>P31การเยี่ยมชมการศึกษาดูงาน</p> <p>P32การอบรมดำเนินงานธุรการและเลขานุการ</p> <p>P35ฝึกงาน ดูงาน</p> <p>P37อบรมและปฏิบัติ</p> <p>P39การสอนงานจากพี่เลี้ยง</p> <p>P40เวิร์คช็อปการจัดทำจดหมายราชการ</p> <p>P43จัดอบรม</p>
2	<p>P6ดูงานที่ธนาคารแห่งประเทศไทย เข้าประชุมงานวิชาการด้านเอกสารและจดหมายเหตุในโอกาสต่างๆที่หอจดหมายเหตุจัด</p> <p>P7ดูงานที่หอจดหมายเหตุเฉลิมพระเกียรติรัชกาลที่ ๙</p> <p>P8การจัดเรียง ขั้นตอนการเก็บรักษาเอกสารและอุปกรณ์</p> <p>P11สัมมนา/ดูงาน P13สัมมนาวิชาการ</p> <p>P15สำนักหอจดหมายเหตุแห่งชาติ (อบรม)</p> <p>P17ดูงานที่สำนักหอจดหมายเหตุแห่งชาติ</p> <p>P18ดูงานที่หอจดหมายเหตุแห่งชาติ</p> <p>P19ร่วมอบรมสัมมนากับหอจดหมายเหตุแห่งชาติและส่วนราชการอื่น</p> <p>P24เป็นการอบรมระยะสั้น</p> <p>P28เชิญวิทยากรมาให้ความรู้/ศึกษาดูงานที่หอจดหมายเหตุฯ</p> <p>P37อบรมดูงาน</p>
3	<p>P5ฝึกอบรม</p> <p>P10สัมมนาด้านประกันคุณภาพ จัดโดยสำนักงานรับรองมาตรฐานและประเมินคุณภาพการศึกษา (องค์การมหาชน)</p> <p>P24เป็นการสัมมนา ประชุม</p> <p>P37อบรม</p> <p>P43จัดอบรม</p>
4	<p>P2การฝึกอบรมการใช้เทคโนโลยีคอมพิวเตอร์หลักสูตรต่างๆสำหรับการใช้งานในองค์กร</p> <p>P3ภายในและภายนอกหน่วยงาน</p> <p>P5ฝึกอบรม</p> <p>P8อบรมการใช้ระบบเฉพาะที่จำเป็นต้องใช้ในการปฏิบัติงาน</p> <p>P9อบรมการใช้ระบบสารสนเทศทางอินเทอร์เน็ตภายในหน่วยงาน MFA Portal</p> <p>P10ฝึกอบรมการใช้งานโปรแกรมประยุกต์ที่ใช้กับงานเอกสาร, อบรมด้านเทคโนโลยีสารสนเทศเพื่อการบริหารจัดการ, อบรมด้านการจัดการฐานข้อมูล, อบรมเรื่องระบบเครือข่ายและการแพร่ขยายการ</p> <p>P12อบรมในห้องเรียน</p> <p>P13อบรมหลักสูตรระยะสั้น ๓ วัน</p> <p>P15อบรมที่หน่วยงานของทร.</p> <p>P18อบรมเชิงปฏิบัติการของกองทัพบก</p> <p>P22เปิดหลักสูตรอบรมด้านการใช้เทคโนโลยีคอมพิวเตอร์</p> <p>P24เป็นการอบรมระยะสั้น</p> <p>P25ฝึกอบรมการใช้โปรแกรมต่างๆในการปฏิบัติงาน</p> <p>P28ส่งเจ้าหน้าที่ที่เกี่ยวข้องอบรม สัมมนาในหน่วยงาน/บริษัทในเรื่องที่เกี่ยวข้องกับหน่วยงาน</p> <p>P29รับฟังการบรรยายและทดสอบ การใช้</p> <p>P31การเยี่ยมชม การศึกษาดูงาน</p> <p>P32การอบรมคอมพิวเตอร์หลักสูตรต่างๆและ การอบรม การใช้งาน ระบบสำนักงานอัตโนมัติ</p> <p>P36 classroomและดูงานหน่วยงานภายนอกที่มี การใช้ระบบ งานจัดการเอกสารอิเล็กทรอนิกส์</p> <p>P37อบรมปฏิบัติ</p> <p>P43จัดอบรม</p> <p>P44การใช้โปรแกรมพื้นฐาน</p>

5	<p>P6ดูงานการจัดการเอกสารและจดหมายเหตุที่กระทรวงการต่างประเทศเยอรมัน การให้บริการเอกสารจดหมายเหตุสำนักงานกวดักิน อิตาลี</p> <p>งานจดหมายเหตุแห่งชาติสหรัฐ, เดนมาร์ก (เฉพาะบุคคลไม่ได้ส่งไปทั้งหน่วยงาน)</p> <p>P9อบรมเสริมสร้างความรู้ความเข้าใจเกี่ยวกับ พรบ. ข้อมูลข่าวสารของราชการ ๒๕๔๐</p> <p>P10ด้านการรักษาความปลอดภัยในการใช้งานระบบเทคโนโลยีสารสนเทศ</p> <p>P20หน่วยเหนือกว่าจะเป็นคนกำหนดรูปแบบและวิธีการลงให้ทราบ ในรูปแบบเอกสารและยึดถือปฏิบัติกันมา</p> <p>P36เอกสารลับ – ระเบียบว่าด้วยการรักษาความลับของทางราชการ ๒๕๔๔ และการเปิดเผยข้อมูล</p> <p>P37การนำเสนองาน การบรรยายและการนำชมหอจดหมายเหตุ หอสมุดและพิพิธภัณฑ์</p>
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4. Is/Are there any committee(s) responsible for records and archives management in your office?

#	Answer	Code	Response	%
1	Yes, there is/are committee(s) in the office. มี	P5 ไม่มีชื่อ (text response) P6 2 (text response) P7 2 (text response) P8 P21 (text response) P27 1 (text response) P28 1 (text response) P29 1 (text response) P32 1 (text response) P39 1 (text response) P40 1 (text response) P43 1 (text response)	12	27.27%
2	No, there is not any committee.	P1 P2 P3 P9(text response) P10 P11 P12 P14 P15(text response) P17 P18 P20 P22 P23 P25 P26 P31 P33 P34 P35 P36 P37(text response) P41 P42 P44	25	56.82%
3	Blank	P4 P13 P16 P19 P24 P30 P38	7	15.91%
	Total		44	100%

5. Which regulations are implemented for recordkeeping in your ministry? (Please select more than one answer when applicable)

#	Answer	Code	Response	%
1	The RPMORM 1983	P1 P2 P3 P5 P6 P7 P8 P9 P10 P11 P12 P13 P14 P15 P16 P17 P21 P22 P23 P24 P25 P27 P28 P29 P30 P31 P32 P34 P36 P37 P38 P39 P40 P41 P42 P43 P44	37	84.09%
2	The RPMORM 2005	P1 P2 P3 P5 P6 P7 P9 P10 P11 P12 P13 P14 P15 P16 P18	37	84.09%

		P20 P21 P22 P23 P24 P25 P26 P27 P28 P29 P31 P32 P33 P34 P36 P38 P39 P40 P41 P42 P43 P44		
3	The Rule on Maintenance of Official Secrets B.E. 2544 (2001)	P1 P2 P3 P5 P6 P7 P8 P9 P10 P11 P12 P13 P14 P15 P16 P17 P18 P21 P22 P23 P24 P25 P28 P29 P31 P34 P36 P38 P39 P40 P41 P42 P43 P44	34	77.27%
4	The Official Information Act B.E. 2540 (1997)	P1 P2 P3 P5 P6 P7 P8 P9 P10 P12 P13 P14 P15 P16 P17 P21 P22 P23 P24 P25 P28 P29 P31 P32 P33 P34 P36 P37 P38 P39 P41 P42 P43 P44	34	77.27%
5	National Archives Act B.E. 2556 (2013)	P1 P6 P13 P15 P25 P28 P38 P39 P44	9	20.45%
6	Other regulations issued by the ministry (please specify)	P2 P6 P7 P13 P14 P18 P20 P21 P26 P31 P36 P39 P43 P44	14	31.82%
7	Other regulations issued by organisations outside the ministry (please specify)	P1 P28 P43	3	6.82%
8	Blank	P4 P19 P35	3	6.82%
	Total		171	

#	Text response
6	<p>P2ระเบียบงานสารบรรณสำหรับแนวทางปฏิบัติภายในกระทรวง</p> <p>P6ระเบียบกระทรวงการต่างประเทศว่าด้วยข้อมูลข่าวสารของทางราชการ ๒๕๔๓</p> <p>P7ระเบียบกระทรวงการต่างประเทศว่าด้วยข้อมูลข่าวสารของทางราชการ ๒๕๔๓</p> <p>P13บันทึกข้อความ เรื่องการทำลายเอกสาร</p> <p>P14ปฏิบัติตามระเบียบสำนักนายกรัฐมนตรีที่แก้ไขเพิ่มเติม</p> <p>P18ระเบียบกองทัพบก ว่าด้วยงานสารบรรณ ๒๕๕๕</p> <p>P20กองทัพบก</p> <p>P21ระเบียบว่าด้วยการรักษาความลับของทางราชการ, ระเบียบทร.ว่าด้วยข้อมูลข่าวสารของราชการ</p> <p>P26กองทัพบก</p> <p>P31ระเบียบกพ.ว่าด้วยการให้</p> <p>P36มีระเบียบภายในที่ออกโดยธนาคารเอง โดยประมวลจาก ๔ ระเบียบข้างต้น</p> <p>P39ระเบียบบริษัท ไปรษณีย์ไทย จำกัด ฉบับที่ ๑๕๖ ว่าด้วยการเก็บรักษาและการทำลายเอกสาร ๒๕๕๑</p> <p>P43พรบ. ข้อมูลข่าวสารของราชการ พ.ศ. ๒๕๔๐</p> <p>P44</p>
7	<p>P1 พรบ. ระเบียบข้าราชการพลเรือน ๒๕๕๑</p> <p>P28 ระเบียบสำนักนายกรัฐมนตรีว่าด้วยการรักษาความปลอดภัยแห่งชาติ พ.ศ. ๒๕๕๒</p> <p>P43ระเบียบสมศ. ว่าด้วยข้อมูลข่าวสารของราชการ พ.ศ. ๒๕๔๕</p>

6. What kinds of records are held in your office? (Please select more than one answer when applicable)

#	Answer	Code	Response	%
1	Papers	P1 P2 P5 P6 P7 P8 P9 P10 P11 P12 P13 P14 P15 P16 P17 P18 P21 P22 P23 P24 P25 P27 P28 P29 P30 P31 P32 P34 P35 P36 P37 P38 P39 P40 P41 P42 P43 P44	38	86.36%
2	Large formats (e.g. posters, maps, blue prints, etc.)	P2 P5 P8 P13 P15 P21 P22 P28 P35 P38 P39 P41 P43	13	29.55%
3	Audio-visual materials (CDs, VCDs)	P2 P5 P8 P9 P10 P13 P15 P16 P17 P22 P24 P25 P28 P31 P32 P35 P37 P38 P39 P41 P42 P43	22	50%
4	Born digital materials (e-records, e-books, CDs)	P1 P2 P3 P5 P8 P9 P10 P12 P13 P14 P15 P18 P21 P22 P25 P28 P32 P34 P35 P37 P38 P39 P43	23	52.27%
5	Books	P1 P2 P3 P5 P6 P7 P9 P8 P10 P13 P14 P15 P16 P17 P20 P21 P22 P24 P25 P26 P27 P28 P31 P33 P35 P37 P38 P39 P40 P41 P43 P44	32	72.73%
6	Newspapers	P2 P6 P7 P8 P9 P13 P14 P16 P20 P22 P26 P27 P28 P31 P37 P38 P41 P44	18	40.91%
7	Photographs	P1 P2 P5 P6 P7 P8 P10 P13 P14 P15 P17 P18 P20 P21 P22 P24 P25 P28 P35 P37 P38 P39 P43	23	52.27%
8	Personal records (e.g. diary, letter, postcard, etc.)	P1 P2 P5 P8 P13 P15 P17 P22 P28 P43	10	22.73%
9	Souvenirs/objects	P2 P5 P6 P7 P9 P10 P13 P21 P22 P24 P25 P28 P37 P38 P39 P43	16	36.36%
10	Other (please specify)	P6 P7 P11 P13 P36	5	11.36%
11	Blank	P4 P19	2	4.54%
	Total		203	

#	Text response
10	P6สนธิสัญญา P7สนธิสัญญา

	<p>P11ระเบียบ คำสั่ง หลักการของทบ.</p> <p>P13คำสั่งกระทรวงกลาโหม คำสั่งกองทัพเรือ</p> <p>P36จดหมายของลูกค้าทั่วไปที่ขอให้ธนาคารดำเนินการต่างๆ</p>
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7. How are the records and archives accessioned by your office? (Select more than one answer when applicable)

#	Answer	Code	Response	%
1	The records are created by employees and stored in the office.	P1 P2 P3 P5 P6 P8 P9 P10 P11 P12 P13 P14 P16 P17 P18 P20 P21 P22 P23 P24 P25 P26 P27 P28 P29 P30 P31 P32 P33 P34 P35 P36 P37 P38 P39 P40 P41 P42 P43 P44	40	90.91%
2	The records are appraised and transferred from the creator office in the ministry.	P1 P5 P6 P7 P8 P15 P16 P18 P22 P38	10	22.73%
3	The records have not been appraised but they are transferred from the creator office in the ministry.	P1 P2 P6 P7 P8 P9 P13 P15 P16 P19 P22 P28 P42	13	29.55%
4	The records are transferred to the office under to the RPMORM 1983 and 2005.	P1 P3 P5 P8 P10 P11 P13 P14 P15 P19 P21 P22 P24 P25 P27 P31 P38 P39 P44	19	43.18%
5	The records are transferred to the office according to the retention schedule of the ministry	P1 P5 P6 P8 P13 P15 P19 P31	8	18.18%
6	The archives are donated by a person or external bodies.	P1 P3 P8 P9 P10 P13 P17 P19 P21 P28 P31 P37 P39 P41	14	31.82%
7	The archives are purchased from external bodies.	P3 P9 P10 P11 P17 P21 P22 P25 P39 P41	10	22.73%
8	The records or archives are reproduced or copied.	P1 P8 P9 P10 P15 P16 P17 P21 P25 P28 P34 P35	12	27.27%
9	Other (please specify)	P2 P11 P33 P36 P39	5	11.36%
10	Blank	P4	1	2.27%
	Total		132	

#	Text response
9	<p>P2ได้รับเอกสารเผยแพร่ประชาสัมพันธ์จากหน่วยงานอื่น (รายงานผลประจำปี งานวิจัย งานวิชาการ วารสาร)</p> <p>P11ทำสำเนาจากหน่วยงานภายใน</p> <p>P33เฉพาะเอกสารในหน่วยงาน</p> <p>P36ได้รับจากหน่วยงานต่างๆทั้งภายนอกและภายใน</p>

8. What do you do after accessioning? (Please select more than one answer when applicable)

#	Answer	Code	Response	%
1	Registering	P2 P3 P5 P6 P8 P9 P10 P11 P12 P13 P14 P15 P16 P18 P19 P20 P21 P22 P23 P24 P25 P26 P27 P28 P29 P30 P31 P32 P33 P34 P35 P37 P38 P39 P40 P41 P42 P43 P44	39	88.64%
2	Checking condition of records	P1 P3 P5 P8 P9 P10 P13 P14 P15 P17 P18 P19 P22 P24 P25 P31 P35 P37 P38 P40 P41 P44	22	50
3	Cleaning and repairing records	P1 P3 P8 P15 P17 P19 P35 P37 P41	9	20.45%
4	Keep in repository for further arrangement	P1 P3 P5 P6 P7 P8 P10 P11 P13 P14 P15 P16 P17 P18 P19 P22 P24 P28 P30 P31 P33 P35 P39 P40 P41	25	56.82%
5	Other (please specify)	P2 P8 P10 P19 P21 P36 P39	7	15.91%
6	Blank	P4	1	2.27%
	Total		103	

#	Text response
5	<p>P2จัดเก็บไว้ ณ ห้องสมุดกรมฯ/มอบแจกจ่ายหน่วยงานในสังกัดกรม</p> <p>P8จัดเรียงตามวัน/เดือน/ปี</p> <p>P10จัดเก็บไว้ในระบบฐานข้อมูล (เช่น ในระบบ E-learning) หากเป็นเอกสารอิเล็กทรอนิกส์</p> <p>P21เป็นเอกสารติดต่อระหว่างหน่วยงานใช้การลงทะเบียนรับ-ส่ง</p> <p>P36ลงทะเบียนรับและบันทึกข้อมูลเข้าระบบงานอิเล็กทรอนิกส์ กลั่นกรอง/คัดแยก จัดส่งให้หน่วยงานที่รับผิดชอบเพื่อดำเนินการต่อไป</p> <p>P39ตรวจนับจำนวนกล่อง ขอให้เรียบเรียงก่อน เพื่อจัดเก็บรอทำลายและจำหน่าย</p>

9. Has your office selected and appraised the records?

#	Answer	Code	Response	%
1	Yes, the records have been selected and appraised according to the ministry's retention schedule.	P5 P6 P7 P8 P19 P21 P22 P28 P31 P38 P39	11	25%
2	Yes, the records have been selected and appraised according to the RPORM 1983 and 2005.	P1 P5 P6 P7 P8 P10 P13 P15 P19 P21 P22 P25 P27 P28 P29 P30 P31 P33 P34 P38 P41 P43 P44	23	52.27%

3	Yes, the records have been selected and appraised by staff in the office.	P1 P5 P6 P7 P13 P18 P19 P20 P26 P28 P32 P35	12	27.27%
4	Yes, the records have been selected and appraised by the committee(s).	P5 P28 P29 P33	4	9.09%
5	Yes, the records have been selected and appraised by other means (please specify)	P3 P8 P10	3	6.82%
6	No, my office has not appraised and selected the records because.....	P2 P9 P11 P12 P14 P15 P16 P17 P23 P24 P36 P37 P40 P42	14	31.82%
7	Blank	P4	1	2.27%
	Total		68	

#	Text response
5	P3โดยผู้ปฏิบัติงานห้องสมุดเป็นผู้ประเมินคุณค่า P8ประเมินคุณค่าโดยผู้ที่รับผิดชอบเอกสารนั้นๆ P10มีการประเมินคุณค่าจากหน่วยงานที่จะใช้เอกสารนั้นๆ เช่น ประเมินคุณค่าเอกสารประกอบการศึกษา ตำรา
6	P2ยังไม่มีเอกสารที่สามารถนำไปเป็นจดหมายเหตุได้ P9มีกองสารบรรณและห้องสมุดดำเนินการแทนแล้ว และเอกสารส่วนใหญ่เป็นเอกสารที่ใช้ปฏิบัติงานทั่วไป P11เป็นเอกสารเกี่ยวกับระเบียบ คำสั่ง และหลักการทบท. ที่จัดทำขึ้นจากหน่วยงานต่างๆ ในกองทัพบกที่รับผิดชอบในงานนั้นๆ P12หน่วยงานที่เก็บเอกสารนั้นๆเป็นผู้ประเมินค่า P14ไม่ได้รับเอกสารที่ได้รับมอบ P15หัวหน้าเอกสารเป็นผู้ประเมิน P17ยังไม่ตั้งเป็นหน่วยงานจดหมายเหตุ เพียงแต่รวบรวมเอกสารที่เป็นประวัติศาสตร์ P23เป็นเอกสารทั่วไป P24เป็นหน่วยระดับกอง P36เป็นเอกสารทั่วไปซึ่งติดต่อระหว่างหน่วยงานทั้งภายนอกและภายใน P37เพิ่งมีการจัดตั้งหอจดหมายเหตุได้ ๙ เดือน P40อยู่ระหว่างดำเนินการ

10. Is there any arrangement system for recordkeeping in the office?

#	Answer	Code	Response	%
1	Yes, we arrange by principle of provenance/creating office or original unit.	P1 P5 P6 P7 P8 P9 P13 P15 P16 P17 P27 P28 P29 P30 P33 P39 P44	17	38.64%
2	Yes, we arrange by alphabetical order.	P5 P10 P20 P24 P26 P28 P41	7	15.91%
3	Yes, we arrange by chronological order.	P1 P5 P8 P9 P11 P12 P13 P15 P19 P20 P22 P25 P26 P27 P28 P33 P34 P36 P38 P40 P42 P43 P44	23	52.27%
4	Yes, we arrange by subject heading.	P1 P6 P7 P8 P9 P10 P11 P12 P13 P14	22	50%

		P15 P16 P18 P19 P22 P23 P28 P30 P31 P35 P38 P44		
5	Yes, we arrange by other systems (please specify)	P1 P3 P8 P10 P19 P21 P31 P36	8	18.18%
6	No, there is no arrangement system for recordkeeping in the office because...	P2 P32 P37 P40	4	9.09%
7	Blank	P4	1	2.27%
	Total		81	

#	Text response
5	P1เรียงตามลำดับตัวอักษร(ก-ฮ)หรือตามลำดับเลขที่ตำแหน่ง P3จัดเรียงตามลำดับหมวดหมู่เนื้อหาตามระบบทศนิยมดิวอี้ P8เรียงตามรหัสกรมกอง, ประเทศ, ลักษณะงาน, ปีพ.ศ. P10เรียงตามลำดับหมายเลขของเอกสาร (สำหรับเอกสารราชการ) P19การจัดเอกสารใช้เกณฑ์อายุเอกสารและความสำคัญ P21เรียงตามประเภทเอกสาร P31ตามหลักมาตรฐานสากล P36เนื่องจากมีการบันทึกเข้าระบบงานจึงสามารถค้นหาได้หลายแบบ เช่น ใช้เลขที่เอกสาร หน่วยงานเจ้าของเรื่อง
6	P2วิเคราะห์เห็นว่าเป็นเอกสารด้านศาสนาเหมาะสำหรับการปฏิบัติยังไม่ได้ลงลึกถึงการจัดเรียงและประเมินค่าเป็นจดหมายเหตุ P32มีระบบสืบค้นเอกสารระบบสำนักงานอัตโนมัติ P37เพิ่งมีการจัดตั้งหอจดหมายเหตุได้ ๙ เดือน P40ระบบการจัดเก็บเอกสารของหน่วยงาน (ระบบสารบรรณ)

11. Is there any finding aid provided in the office?

#	Answer	Code	Response	%
1	Yes list of records registration	P1 P5 P8 P9 P10 P12 P13 P14 P15 P16 P21 P22 P25 P27 P28 P29 P31 P39	18	40.91%
2	Yes - abstract	P5 P31	2	4.55%
3	Yes - catalogue card	P6 P7 P8 P12 P30	5	11.36%
4	Yes - index	P10 P11 P24 P31	4	9.09%
5	Yes - manual or instruction	P13 P16	2	4.55%
6	Yes - online database	P1 P3 P5 P6 P7 P8 P9 P10 P11 P13 P16 P18 P22 P25 P28 P29 P31 P32 P34 P35 P36 P37 P38 P40 P41 P42 P43 P44	28	63.64%
7	Yes - other (please specify)	P10 P17 P21 P39 P40	5	11.36%
8	No, there is no finding aid provided because	P2 P20 P23 P26 P33	5	11.36%
9	Blank	P4 P19	2	4.55%
	Total		71	

#	Text response
7	P10ชื่อเรื่อง, เลขที่หนังสือ, หน่วยผู้ส่ง ฯลฯ

	P17จัดแฟ้มเฉพาะเรื่อง P21บัญชีรับ-ส่งหนังสือ P39มีแบบพิมพ์พ.๒๖ (บัญชีกำกับเอกสารประจำกล่องเอกสารใช้แล้ว) P40ระบบสารบรรณอิเล็กทรอนิกส์
8	P2ยังไม่เป็นเอกสารสำคัญจึงไม่มีการจัดทำเครื่องมือช่วยค้น P23เป็นเอกสารทั่วไป P33อยู่ระหว่างทำฐานข้อมูล สิ่งพิมพ์สำนักงานสลากกินแบ่งรัฐบาล

12. Do you make description for the records?

#	Answer	Code	Response	%
1	Yes, we use in-house style of cataloguing which is created by the office.	P6 P7 P8 P13 P14 P15 P18 P22 P24 P25 P28 P30 P31 P32 P35 P40 P41	17	38.63%
2	Yes, we use standard style of cataloguing, created by a national institution (please specify)	P3 P5 P9 P10 P11 P12 P20 P21 P26 P27 P28 P34 P39	13	29.55%
3	Yes, there is standard style of cataloguing, created by an international institution (please specify)		0	0%
4	No, we do not catalogue because.....	P1 P2 P17 P23 P29 P33 P36 P37 P42 P44	10	22.73%
5	Blank	P4 P16 P19 P38 P43	5	11.36%
	Total		45	

#	Text response
2	P9ระบบภายในของกระทรวง MFA Portal P10ระเบียบสำนักนายกรัฐมนตรีว่าด้วยงานสารบรรณ พ.ศ. ๒๕๒๖, รูปแบบดัชนีการจัดเก็บเอกสารด้านการศึกษากำหนดเอง P11กองทัพบก P20กองทัพบก P21ตามระเบียบสำนักนายกรัฐมนตรีว่าด้วยงานสารบรรณ P26กองทัพบก P27ลงรายการตามระเบียบสำนักนายกรัฐมนตรี P28กำหนดเองภายในหน่วยงาน P34ตามระเบียบงานสารบรรณ P39แบบพิมพ์ พ.๒๖ (บัญชีกำกับเอกสารประจำกล่องเอกสารใช้แล้ว)
4	P2ยังไม่มีเอกสารประเภทจดหมายเหตุหรือเป็นประวัติศาสตร์ P17หน่วยไม่ได้ส่งให้เก็บ P36มีการใช้ระบบงานอิเล็กทรอนิกส์ซึ่งรูปแบบการลงรายการเป็นไปตามที่กำหนดในระบบ P37เพิ่งเปิดดำเนินการ

13. How do you keep the records in your office? (Select more than one answer when applicable)

#	Answer	Code	Response	%
1	Keep in filing cabinet	P1 P2 P5 P6 P7 P9 P10 P11 P12 P14	30	68.18%

		P15 P17 P18 P20 P22 P23 P24 P25 P26 P27 P28 P32 P33 P34 P36 P38 P40 P42 P43 P44		
2	Keep in folder and placed on the shelf	P1 P2 P5 P9 P10 P11 P17 P22 P25 P28 P29 P31 P33 P34 P38 P41 P42	17	38.64%
3	Keep in acid-free folder and acid-free box and placed on the shelf	P1 P3 P5 P14 P16 P17 P26 P31 P35	9	20.45%
4	Keep in folder and tie with string or tape and placed on the space in the office	P15 P44	2	4.55%
5	Keep in folder and box and placed on the shelf	P1 P6 P7 P8 P11 P13 P14 P15 P21 P28 P29 P30 P33 P34 P39 P44	16	36.36%
6	Other (please specify)	P1 P2 P8 P10 P32 P33 P36 P37 P40	9	20.45%
7	Blank	P4 P19	2	4.55%
8	Total		85	

#	Text response
6	<p>P1บันทึกข้อมูลในคอมพิวเตอร์และสแกนเป็นไฟล์รูปภาพ</p> <p>P2เก็บเอกสารค้นคว้าเผยแพร่ไว้ ณ ห้องสมุดกรมฯ</p> <p>P8สแกนเข้าฐานข้อมูล</p> <p>P10เก็บเข้าระบบจัดเก็บเอกสารอิเล็กทรอนิกส์ (เอกสารอิเล็กทรอนิกส์)</p> <p>P32เก็บเอกสารในกล่องกระดาษและฝากไว้ที่ศูนย์รับฝากเอกสาร</p> <p>P33แจ้งบริการฝากเก็บเอกสาร</p> <p>P36สแกนเอกสารเข้าระบบอิเล็กทรอนิกส์โดยเอกสารตัวจริงส่งให้หน่วยงานที่รับผิดชอบซึ่งต้องปฏิบัติตามระเบียบที่กำหนดเกี่ยวกับการจัดเก็บและอายุเอกสาร</p> <p>P37ขณะนี้เป็นการจัดเก็บชั่วคราวโดยใส่กล่องยังไม่มียี่ห้อและระบบจัดเก็บเพราะเพิ่งเปิดให้บริการ</p> <p>P40ระบบสารบรรณอิเล็กทรอนิกส์</p>

14. Do you have a separated storage area for your records?

#	Answer	Code	Response	%
1	Yes, we have the repository	P3 P8 P9 P11 P12 P13 P14 P15 P16 P24 P26 P27 P28 P29 P30 P33 P34 P35 P38 P39	20	45.45%
2	Yes, the repository is an independent building.	P24 P39	2	4.55%
3	Yes, the repository shares the space with the other offices in the building.	P3 P10 P11 P14 P16 P27 P28 P29 P30 P34	10	22.73%
4	Yes, the air-conditioner is on in working hours only.	P3 P8 P9 P11 P12 P13 P15 P18 P24 P27 P28 P30 P35	13	29.55%
5	Yes, the air-conditioner			

	is on 24 hours.			
6	Yes, the repository is temperature controlled.			
7	Yes the repository is humidity controlled	P8 P13 P24	3	6.82%
8	Yes fire alarms are installed	P3 P28	2	4.55%
9	Yes fire extinguishers are installed	P3 P8 P9 P10 P11 P12 P27 P28 P38 P39	10	22.73%
10	Other (please specify)	P10 P33	2	4.55%
11	No, the repository is not separated from the workplace because	P1 P2 P5 P6 P7 P10 P13 P17 P20 P21 P22 P23 P25 P31 P32 P36 P37 P40 P41 P42 P43 P44	22	50%
12	Blank	P4 P19	2	4.55%
	Total		86	

#	Text response
10	P10 มีกุญแจปิดห้อง P33เป็นห้องเก็บเอกสารที่มีตู้เก็บเอกสารเท่านั้น
11	P2เอกสารจำเป็นต้องใช้อ้างอิงคู่กับการปฏิบัติงานประจำ P10 อาคารสถานที่ที่มีพื้นที่ห้องจำกัด (เอกสารราชการทั่วไป เอกสารที่เกี่ยวกับหลักฐาน ประวัติ ข้อมูล สถิติ ที่เกี่ยวข้องกับการประเมินผลการศึกษา) P13จากโครงสร้างของกองประวัติศาสตร์จัดแบ่งการทำงานเป็นความรับผิดชอบของแต่ละด้านสถานที่ทำงานก็คนละสถานที่ เนื่องจากการจัดเก็บเอกสารมีปริมาณค่อนข้างมาก P17ยังไม่มีห้องเก็บเอกสารเฉพาะ P20ไม่มีพื้นที่จัดเก็บ P21ไม่มีการจัดทำห้อง ทั้งหมดเก็บไว้กับห้องที่ใช้ปฏิบัติงาน P22มีพื้นที่จำกัด P23มีจำนวนไม่มาก P25สถานที่มีจำกัด P31พื้นที่มีข้อจำกัด P36เป็นหน่วยงานหนึ่งที่ดูแลงานสารบรรณกลางของธนาคาร P37เพิ่งมีส่วนงานที่ดูแลเรื่องนี้โดยตรง และเพิ่งเปิดให้บริการแต่มีแผนงานจะหาสถานที่เก็บเอกสารโดยตรง P40พื้นที่จำกัด P43มีพื้นที่จำกัด

15. If your office holds archives, do you preserve the records? (Please select more than one answer when applicable)

#	Answer	Code	Response	%
1	Annual inventory (internal operation)	P1 P2 P5 P6 P8 P9 P10 P11 P12 P13 P14 P16 P19 P22 P25 P27 P28 P29 P31 P32 P33 P38 P39 P42 P43	25	56.82%
2	Annual inventory (outsourcing)			
3	Restoration/repair (internal operation)	P1 P3 P8 P12 P13 P14 P15 P21 P25 P27 P29 P31 P35 P38 P41	17	38.64%

4	Restoration/repair (outsourcing)	P11 P33		
5	Fumigation (internal operation)	P19 P27	3	6.82%
6	Fumigation (outsourcing)	P33		
7	Freezing (internal operation)		1	2.27%
8	Freezing (outsourcing)	P33		
9	Reproduction (internal operation)	P1 P5 P8 P10 P11 P13 P18 P21 P25 P28 P31 P33 P38 P40 P41 P44	16	36.36%
10	Reproduction (outsourcing)			
11	Microfilming (internal operation)	P11 P13	2	4.55%
12	Microfilming (outsourcing)			
13	Digitising (internal operation)	P1 P2 P3 P6 P7 P8 P9 P10 P11 P13 P14 P16 P18 P19 P21 P22 P28 P29 P30 P31 P32 P33 P34 P35 P36 P40 P43 P44	29	65.91%
14	Digitising (outsourcing)	P37		
15	Other (please specify)	P2 P10 P17 P23 P26 P33	6	13.64%
	Blank	P4 P20 P24	3	6.82%
	Total		102	

#	Text response
15	<p>P2เก็บเอกสารในรูปแบบซีดี ฯลฯ</p> <p>P10ป้องกันความชื้น อากาศ และสัตว์ประเภทหนู ภายในบริเวณที่จัดเก็บ (ดำเนินการเอง)</p> <p>P17รอกการจ้างหน่วยงานอื่นดำเนินการ</p> <p>P23ไม่มีเนื่องจากเป็นเอกสารทั่วไป</p> <p>P26ไม่มี</p> <p>P33เป็นเอกสารภายในองค์กร ไม่ใช่จดหมายเหตุ</p>

16. Is there any policy or rule about recordkeeping in your office? (Please select more than one answer when applicable)

#	Answer	Code	Response	%
1	Yes, there are policies about using records.	P5 P6 P7 P8 P9 P10 P11 P12 P13 P15 P18 P19 P22 P25 P28 P36 P42 P43	18	40.90%
2	Yes, there are policies about searching and using finding aids.	P3 P5 P8 P9 P11 P13 P14 P16 P18 P19 P22 P24 P28 P42 P43	15	34.09%
3	Yes, there are policies about borrowing records.	P2 P3 P5 P6 P7 P8 P9 P10 P11 P13 P15 P16 P17 P18 P19 P22 P24 P31 P41 P42 P43	21	47.73%

4	Yes, there are policies about photocopy and reproduction.	P2 P3 P5 P9 P10 P11 P13 P18 P19 P22 P24 P30 P31 P41 P43 P44	16	36.36%
5	Yes, there are policies about other (please specify).	P10 P19 P29 P36 P37 P39	6	13.64%
6	No, there is no policy because.....	P1 P20 P21 P23 P26 P27 P32 P33 P34 P35 P40	11	25%
7	Blank	P4 P38	2	4.55%
	Total		89	

#	Text response
5	P10ระเบียบสำนักนายกฯ ๒๕๒๖, พรบ.ข้อมูลข่าวสาร ๒๕๔๐, ระเบียบการรักษาความลับ ๒๕๔๔ P19เอกสารที่สำคัญต้องให้ผู้บังคับบัญชาระดับเหนือขึ้นไปอนุญาต เช่น เรื่องที่ดิน P29ใช้ระเบียบสำนักนายกฯว่าด้วยงานสารบรรณ ๒๕๒๖ และ ๒๕๔๘ P36เรื่องการเปิดเผยข้อมูล P37เรื่องอายุเอกสาร P39ระเบียบเกี่ยวกับการเก็บรักษาและทำลายเอกสาร
6	P21ปฏิบัติตามระเบียบว่าด้วยงานสารบรรณอยู่แล้ว การปฏิบัติเป็นไปตามสำนักนายกรัฐมนตรี P34เป็นกฎหมายใหม่ P40อยู่ระหว่างดำเนินการ

17. Do you appraise your non-current records in the office for historical value?
(Please select more than one answer when applicable)

#	Answer	Code	Response	%
1	Yes, we appraise and transfer non-current records to be destroyed at.....	P6 P7 P8 P10 P12 P19 P28 P30 P39 P43	10	22.73%
2	Yes, we appraise and transfer non-current records to.....	P6 P7 P9 P13 P14 P16 P19 P22 P27 P31 P32	11	25%
3	Yes, we appraise and keep them in the office.	P1 P5 P6 P8 P10 P11 P12 P15 P18 P19 P22 P25 P28 P38 P39 P41 P43 P44	18	40.91%
4	No, we do not appraise the non-current records because...	P2 P3 P17 P20 P21 P23 P26 P29 P33 P34 P35 P36 P37 P40 P42	15	34.09%
5	Blank	P4	1	2.27%
	Total		55	

#	Text response
1	P6 โรงงานผลิต/ย่อยกระดาษ P7 โรงงานผลิตกระดาษ P8 กระทรวงฯ โดยขอความเห็นชอบจากสำนักหอจดหมายเหตุก่อน P10 ทำลายเอกสารตามวิธีและสถานที่ที่ระบุในระเบียบ P12 ดำเนินการเอง P19 ตั้งกรรมการทำลาย

	P28หน่วยงานเจ้าของเรื่อง P39คลังเก็บเอกสาร P43บริษัทเอกชน
2	P6หจก. กรมศิลปากร P7หจก. กรมศิลปากร P9เจ้าหน้าที่central filling/ห้องสมุด P13หอภาพยนตร์/หอจดหมายเหตุ P14กองประวัติศาสตร์ ยศ.ท. P16กองบรรณสารฝั่งแจ้งวัฒนะ P19สำนักหอจดหมายเหตุแห่งชาติ P22กองประวัติศาสตร์ยศ.ท. P27แผนกเก็บเอกสารและห้องสมุด กองกลาง กรมเสมียนตรา สำนักงานปลัดกระทรวงกลาโหม P31งานสารบรรณ P32ศูนย์รับฝากเอกสาร
4	P2ไม่ได้เป็นเอกสารทางการวิจัยหรือทางด้านประวัติศาสตร์ P3เอกสารยังไม่มาก P17หน่วยไม่ได้ส่งให้ P21ไม่มีเอกสารสำคัญ P29เมื่อครบอายุการจัดเก็บคณะกรรมการทำลายหนังสือราชการจะพิจารณาส่งมอบให้หอจดหมายเหตุแห่งชาติตรวจสอบเอกสารก่อนการทำลาย P36มีการจัดเก็บเอกสารและทำลายเอกสารตามระเบียบที่กำหนดเกี่ยวกับการจัดเก็บและอายุเอกสาร P37เพิ่มมีส่วนงานที่ดูแลเรื่องนี้โดยตรง P40อยู่ระหว่างดำเนินการ

18. Do you transfer non-current records to the NAT and its branches?

#	Answer	Code	Response	%
1	Yes, we transfer non-current records to the NAT every.....	P3 P6 P7 P8 P16 P19 P25 P27 P28 P35 P39	11	25%
2	No, we do not transfer non-current records to the NAT and its branches because.....	P1 P2 P5 P9 P10 P11 P12 P14 P15 P17 P18 P20 P21 P22 P24 P26 P31 P32 P33P34 P36 P37 P40 P41 P42 P44	26	59.09%
3	Blank	P4 P13 P23 P29 P30 P38 P43	7	15.91%
	Total		44	100%

#	Text response
1	P3ทุกครั้งที่มีการจัดพิมพ์ P6 ๑ ปี P7 ๑ ปี P8การส่งมอบขึ้นอยู่กับตารางกำหนดอายุเอกสารที่ทำข้อตกลงตามระเบียบสำนักนายกรัฐมนตรีว่าด้วยงานสารบรรณพ.ศ. ๒๕๒๖ ระหว่างกระทรวงฯกับสำนักหอจดหมายเหตุแห่งชาติ กรมศิลปากร P16 ๑ ปี P19 ไม่กำหนด P25 ๑ ปี P27 ๑ ปี

	P28 ๑ ปี P39 ๑ ปี
2	<p>P1ไม่มีเอกสารที่เป็นจดหมายเหตุ</p> <p>P2มีเอกสารด้านจดหมายเหตุจำนวน ๑ เรื่องแต่เก็บรักษาไว้ที่หน่วยงานด้วย(จดหมายเหตุการณสรายพระไตรปิฎก)</p> <p>P5เอกสารขององค์กรส่วนใหญ่ไม่ใช่เอกสารจดหมายเหตุที่มีประวัติศาสตร์และไม่ต้องมืองค์กรหรือหน่วยงานใดๆมาประเมินคุณค่าของเอกสาร องค์กรจะเน้นทำเป็นหนังสือ วารสารมากกว่า</p> <p>P9มีกองสารบรรณและห้องสมุดดำเนินการแทนแล้ว</p> <p>P10ไม่มีการมอบหมายหน้าที่และไม่มีแนวทางปฏิบัติ</p> <p>P11หอจดหมายเหตุแห่งชาติไม่มีที่เก็บและเอกสารส่วนใหญ่เป็นประโยชน์เฉพาะกับข้าราชการทหารเท่านั้น บางส่วนถือเป็นประวัติศาสตร์ทางทหารที่หอจดหมายเหตุระบุให้กองทัพบกดำเนินการเก็บเอง</p> <p>P12เอกสารส่วนใหญ่เป็นระเบียบของหน่วยเหนือ</p> <p>P14มีความจำเป็นในการตรวจค้นและไม่เห็นเอกสารที่เป็นเอกสารประวัติศาสตร์</p> <p>P15ต้องเก็บไว้เป็นหลักฐานในการสืบค้นเพราะยังไม่ได้ถ่ายเก็บเป็นระบบอิเล็กทรอนิกส์</p> <p>P17มีหน่วยที่รับผิดชอบการส่งมอบเอกสารที่สิ้นกระแสการปฏิบัติงานแล้ว</p> <p>P18เป็นเอกสารที่มีชั้นความลับและพิจารณาแล้วเห็นสมควรเก็บรักษาไว้เอง</p> <p>P21ไม่มีเอกสารเกี่ยวข้องต้องส่งให้</p> <p>P22ส่งมอบไปที่กองประวัติศาสตร์ ยศ. ทร.</p> <p>P24มีจำนวนหนังสือไม่มาก มีเฉพาะให้นักศึกษาประกอบการศึกษาเท่านั้น</p> <p>P31ต้องส่งไปทำงานสารบรรณเป็นหน่วยพิจารณา</p> <p>P32นำไปฝากศูนย์รับฝากเอกสาร</p> <p>P36เป็นเอกสารของธนาคารซึ่งเป็นเรื่องที่ใช้ภายในธนาคารเท่านั้นและไม่มีความสำคัญทางประวัติศาสตร์</p> <p>P37มีส่วนงานที่รับผิดชอบโดยตรงแล้ว</p> <p>P40อยู่ระหว่างดำเนินการ</p> <p>P41เป็นหน่วยงานเฉพาะ</p>

19. Do you have a follow-up process to check the quality of archives after transfer to the NAT?

#	Answer	Code	Response	%
1	Yes, we have followed up to check the quality of transferred archives kept in the NAT by	P30	1	2.27%
2	No, we do not have a follow-up process after transfer because.....	P1 P2 P3 P5 P6 P7 P9 P10 P11 P12 P14 P15 P17 P20 P21 P22 P23 P25 P26 P27 P28 P29 P31 P32 P33 P34 P35 P36 P39 P40 P41 P42 P44	33	75%
3	Blank	P4 P8 P13 P16 P18 P19 P24 P37 P38 P43	10	22.73%
	Total		44	100%

#	Text response
1	P30โดยมีการตั้งกรรมการเพื่อดำเนินการ
2	<p>P1ไม่มีเอกสารที่เป็นจดหมายเหตุ</p> <p>P2เป็นเอกสารที่พิมพ์ใหม่ยังอยู่ในสภาพสมบูรณ์</p> <p>P5ระหว่างดำเนินการจัดการเอกสารมีผู้ทรงคุณวุฒิกำกับดูแลการดำเนินงานก่อนผลิตทุกครั้ง</p> <p>P9มีกองสารบรรณและห้องสมุดดำเนินการแทนแล้ว</p>

	<p>P10ไม่มีการส่งเอกสารไปที่หอจดหมายเหตุแห่งชาติ</p> <p>P15ไม่มีเจ้าหน้าที่</p> <p>P21ไม่มีหน้าที่โดยตรง ซึ่งของท.ใช้กรมสารบรรณทหารเรือเป็นผู้ดำเนินการ</p> <p>P22ส่งมอบไปที่กองประวัติศาสตร์ ยศ.ท.</p> <p>P25ไม่มีการโอนเอกสาร</p> <p>P28หอจดหมายเหตุมีระบบการจัดเก็บเป็นอย่างดีไว้ใจได้</p> <p>P31มอบให้งานสารบรรณรับผิดชอบแล้ว</p> <p>P36เป็นเอกสารทั่วไปที่เกี่ยวข้องกับการปฏิบัติงานของธนาคาร</p>
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20. Do you have any collaboration with other archival services outside your office

#	Answer	Code	Response	%
1	yes - The NAT and its branches	P2 P6 P7 P8 P13 P15 P16 P17 P18 P27 P28 P29 P37 P39	14	31.82%
2	yes - the cabinet and other ministries	P1 P5 P9 P10 P18 P25 P28 P31 P40 P42 P44	11	25%
3	yes - the archival service in other ministries	P42	1	2.27%
4	yes - university archives		0	0%
5	yes - local archives, community archives		0	0%
6	yes - business archives		0	0%
7	yes - Other (please specify)	P1 P3 P10 P28 P37	5	11.36%
8	No, we do not collaborate with any office because.....	P11 P12 P14 P20 P21 P22 P23 P26 P32 P33 P34 P35 P36 P41 P43	15	34.09%
9	Blank	P4 P19 P24 P30 P38	5	11.36%
	Total		51	

#	Text response
7	<p>P1หน่วยงานระดับกรมที่ปฏิบัติงานด้านการบริหารงานบุคคล</p> <p>P3กรมการศึกษานอกโรงเรียน</p> <p>P10มหาวิทยาลัย สถาบันการศึกษา หน่วยงานเอกชน รัฐวิสาหกิจ</p> <p>P28ทุกหน่วยงานที่ต้องใช้และปฏิบัติตามระเบียบสนย.ว่าด้วยการรปภ.แห่งชาติ ๒๕๕๒</p> <p>P37หอจดหมายเหตุราชเลขาธิการ หอจดหมายเหตุธนาคารแห่งประเทศไทย</p>
8	<p>P11เป็นเอกสารที่เน้นประโยชน์ด้านสิทธิประโยชน์เฉพาะข้าราชการทหารเท่านั้น</p> <p>P21เป็นหน่วยงานภายในท.</p> <p>P22มีกองประวัติศาสตร์ ยศ.ท.รับผิดชอบ</p> <p>P35เพิ่งเริ่มดำเนินการ</p> <p>P36ไม่ใช่เอกสารที่มีความสำคัญทางประวัติศาสตร์</p>

21. Does your office receive any support or service from the NAT and its branches?

#	Answer	Code	Response	%
1	Yes, the NAT supports or facilitates us by involving in these activities.	P2 P6 P8 P13 P17 P18 P27 P28 P29 P31 P37 P40 P42 P44	14	31.82%
2	yes - setting a rule for recordkeeping in the organisation (which is according to the NAT regulation)	P8 P13 P25 P28 P29 P37 P42	7	15.91%
3	yes - helping to set and implement a standard for archival practices	P2 P8 P13 P28 P30 P37 P42	7	15.91%
4	yes - consultation on creating retention schedule	P6 P7 P8 P13 P28 P31 P37 P42	8	18.18%
5	yes - advising about access and service policy	P15 P37	2	4.55%
6	yes - delivery of records which are transferred to the NAT	P7 P15 P28 P29 P37	5	11.36%
7	yes - records deposits	P13	1	2.27%
8	yes - consultation on preservation	P6 P7 P11 P13 P15 P17 P18 P27 P28 P29 P37 P44	12	27.27%
9	yes - training or educational activities about recordkeeping	P13 P15 P17 P28 P30 P37	6	13.64%
10	yes - Other (please specify)	P11 P27 P37 P40	4	9.09%
11	No, we do not receive any support from the NAT because	P1 P3 P5 P9 P10 P12 P14 P20 P21 P22 P23 P26 P32 P33 P34 P35 P36 P38 P39 P41	15	34.09%
12	Blank	P4 P16 P19 P24 P43	5	11.36%
	Total		86	

#	Text response
10	P11 ได้รับเชิญเข้าร่วมการสัมมนา ดูงานจดหมายเหตุเพื่อนำมาปรับใช้ให้สอดคล้องกับเอกสารของกองทัพบก P27การอบเอกสาร P37การให้ความรู้เรื่องการจัดเก็บเอกสาร P40เป็นผู้พัฒนาระบบสารบรรณอิเล็กทรอนิกส์ภาครัฐ
11	P1ไม่มีเอกสารที่เป็นจดหมายเหตุ P3ยังไม่ได้ประสานเนื่องจากเอกสารยังไม่มาก P9มีกองสารบรรณและห้องสมุดเป็นผู้แทนแล้ว P10ไม่มีการดำเนินการจัดการเกี่ยวกับจดหมายเหตุในหน่วยงาน P12ไม่ร้องขอหรือประสานการดำเนินการใดๆ P14เป็นหน่วยงานซึ่งมีเฉพาะเอกสารที่เป็นเรื่องภายในของหน่วยงาน มิใช่เป็นเอกสารประวัติศาสตร์หรือเอกสารที่ต้องส่งสำนักหอจดหมายเหตุแห่งชาติ P21เป็นหน่วยงานรองของกองทัพเรือ P22มีหน่วยงานที่รับผิดชอบโดยตรงของท.อยู่แล้ว P34กรมสรรพสามิตยังไม่ได้ติดต่อประสานงานกับหอจดหมายเหตุแห่งชาติ P35ไม่ได้ติดต่อประสานไป แต่ได้มีการสอบถามความรู้เพิ่มเติมบางกรณีจากหอจดหมายเหตุแห่งชาติ P36ไม่ใช่เอกสารสำคัญทางประวัติศาสตร์

2. Recordkeeping issues in your office

#	Strongly agree	Agree	Disagree	Strongly disagree	Blank	Total responses
22. My office has clear and comprehensive organisational structure.	P1 P3 P10 P11 P12 P14 P16 P20 P21 P22 P25 P26 P27 P28 P29 P33 P34 P35 P37 P39 P40	P2 P5 P6 P7 P9 P13 P15 P18 P19 P23 P24 P30 P31 P32 P36 P38 P41 P42 P43 P44	P17		P4 P8	
Total	21	20	1		3	44
23. The executives significantly prioritise records and archives management.	P3 P10 P16 P22 P28 P29 P35 P37 P40	P1 P5 P6 P7 P9 P11 P12 P14 P17 P18 P19 P20 P21 P23 P24 P25 P26 P27 P30 P31 P32 P33 P34 P36 P38 P39 P41 P42 P43	P2 P13 P44	P15	P4 P8	
Total	9	29	3	1	2	44
24. The employee has knowledge in records and archives management.	P3 P10 P14 P19 P28 P29 P37	P5 P6 P7 P9 P11 P12 P13 P16 P17 P21 P22 P24 P25 P27 P30 P31 P32 P33 P35 P36 P38 P39 P40 P42 P44	P1 P15 P18 P20 P26 P34 P41 P43	P2	P4 P8 P23	
Total	7	25	8	1	3	44
25. There are sufficient employees who are responsible for recordkeeping in my office.	P24 P37	P5 P7 P10 P12 P14 P16 P22 P23 P25 P27 P28 P29 P31 P32 P33 P35 P36 P39 P40 P43 P44	P1 P2 P3 P6 P9 P11 P13 P18 P19 P21 P30 P34 P38 P41 P42	P15 P17 P20 P26	P4 P8	
Total	2	21	15	4	2	44
26. The employee responsible for records	P5 P15 P37 P40	P3 P6 P7 P9 P11	P1 P10 P19 P28	P2 P17 P20 P21	P4 P8 P23	

management does his/her job continuously due to a low rate of turnover.		P12 P13 P14 P16 P18 P22 P24 P25 P27 P29 P30 P32 P33 P35 P36 P39 P41 P43	P31 P34 P38 P44	P26 P42		
Total	4	23	8	6	3	44
27. There is written policy and rule in records registry.	P5 P9 P15 P16 P19 P21 P24 P25 P28 P34 P37 P39 P40 P43 P44	P2 P3 P10 P11 P20 P12 P13 P14 P18 P22 P23 P26 P27 P29 P30 P31 P32 P33 P35 P36 P38 P41 P42	P1 P6 P7	P17	P4 P8	
Total	15	23	3	1	2	44
28. There is written policy on recordkeeping.	P5 P9 P13 P14 P15 P16 P19 P28 P37 P39	P2 P3 P6 P7 P10 P11 P12 P18 P20 P22 P23 P24 P25 P26 P27 P29 P30 P32 P36 P38 P40 P41 P42 P44	P1 P21 P31 P33 P34 P35 P43	P17	P4 P8	
Total	10	24	7	1	2	44
29. There is a retention schedule for records	P5 P7 P14 P16 P19 P28 P37 P39	P6 P10 P11 P12 P13 P18 P22 P23 P25 P27 P29 P30 P31 P32 P36 P38 P40 P42	P1 P2 P3 P9 P24 P26 P33 P34 P35 P41 P44	P15 P17 P20 P21 P43	P4 P8	
Total	8	18	11	5	2	44
30. The records are appraised to be kept or not.	P14 P15 P19 P28 P29 P37	P1 P3 P5 P6 P7 P10 P11 P12 P13 P16 P18 P22 P27 P30 P31 P32 P33 P35 P38 P39 P40 P43 P44	P9 P21 P23 P24 P25 P26 P34 P41 P42	P2 P17 P20	P4 P8 P36	
Total	6	23	9	3	3	44
31. There is collaboration	P14 P15	P5 P6 P7	P1 P2 P3	P10 P20	P4 P8	

between your office and the office responsible for records and archives administration in the ministry.		P11 P13 P16 P17 P22 P24 P25 P27 P28 P29 P30 P31 P38 P39 P40 P42	P9 P12 P18 P21 P23 P26 P32 P33 P34 P35 P41 P44	P36 P43	P19 P37	
Total	2	19	15	4	4	44
32. There is enough space for records storage.	P24	P3 P5 P9 P11 P12 P16 P22 P23 P29 P30 P36 P39 P40 P41	P1 P2 P6 P7 P10 P13 P14 P18 P21 P25 P26 P27 P28 P31 P32 P34 P35 P38 P42 P44	P15 P17 P19 P20 P33 P37 P43	P4 P8	
Total	1	14	20	7	2	44
33. The place for records storage is appropriate for recordkeeping e.g. clean, low humid.	P22	P3 P5 P9 P10 P11 P12 P16 P23 P24 P29 P30 P31 P36 P39 P40 P41 P44	P1 P2 P6 P7 P14 P18 P19 P21 P25 P26 P27 P28 P32 P34 P35 P37 P38 P42 P43	P13 P15 P17 P20 P33	P4 P8	
Total	1	17	19	5	2	44
34. The materials for storing the records are sufficient.	P22 P24	P3 P5 P9 P10 P12 P16 P20 P21 P23 P25 P26 P29 P30 P31 P32 P35 P36 P37 P39 P40 P41	P1 P2 P6 P7 P11 P14 P18 P19 P27 P28 P34 P38 P42 P43 P44	P13 P15 P17 P33	P4 P8	
Total	2	21	15	4	2	44
35. Sufficient financial support.	P3	P5 P7 P9 P12 P16 P20 P22 P23 P24 P26 P30 P31 P33 P36 P37 P39 P40 P41 P43 P44	P1 P2 P6 P10 P11 P18 P21 P25 P27 P28 P29 P32 P34 P35 P38 P42	P13 P14 P15 P17 P19	P4 P8	
Total	1	20	16	5	2	44
36. Established security system for recordkeeping.	P10 P21 P25 P28 P37	P1 P3 P5 P7 P9 P11 P12 P16 P18 P20 P22 P23 P24 P26 P29	P6 P17 P19 P27 P34 P35 P41 P42	P2 P13 P14 P15 P33	P4 P8	

		P30 P31 P32 P36 P38 P39 P40 P43 P44				
Total	5	24	8	5	2	44

3. Personal information

37. What is the highest level of education that you have completed?

#	Answer	Code	Response	%
1	Senior High School	P22 P23	2	4.55%
2	Vocational Certificate	P39	1	2.27%
3	High Vocational Certificate		0	0%
4	Technical Certificate		0	0%
5	Bachelor Degree	P2 P3 P8 P13 P14 P15 P16 P17 P19 P20 P21 P24 P25 P26 P27 P28 P29 P31 P33 P34 P38 P40 P42 P43	24	54.55%
6	Master Degree	P1 P5 P6 P7 P9 P10 P11 P12 P18 P32 P34 P35 P36 P37 P41	15	34.09%
7	Doctor of Philosophy		0	0%
	Blank	P4 P30 P44	3	6.82%
	Total		44	100%

#	Text response
2	P39การบัญชี
5	P2เอกบริหารการศึกษา P3บรรณารักษศาสตร์ P8Information management P13ประวัติศาสตร์ P14นิเทศศาสตร์ วิทยาลัยครูบ้านสมเด็จเจ้าพระยา P15ประวัติศาสตร์ P16บรรณารักษศาสตร์และสารนิเทศศาสตร์ P17รัฐศาสตร์ P19เอกประวัติศาสตร์ คณะสังคมศาสตร์ มศว.ประสานมิตร P20ครุศาสตร์บัณฑิต P21วิทยาศาสตร์บัณฑิต P25ศิลปศาสตร์ สาขาสารสนเทศสำนักงาน P26บรรณารักษศาสตร์และสารนิเทศศาสตร์ P27สาขาบรรณารักษศาสตร์ P28บริหารธุรกิจบัณฑิต การจัดการ P29ศิลปศาสตร์บัณฑิต สาขารัฐประศาสนศาสตร์หรือบริหารรัฐกิจ P33สารสนเทศศาสตร์ P34วิทยาศาสตร์บัณฑิต (สถิติศาสตร์) P38บริหารธุรกิจ P40บริหารธุรกิจ วิทยาการคอมพิวเตอร์ P43การสื่อสารมวลชน

6	P1การวางแผนภาคและเมืองมหานัทิต P5บริหารการศึกษา คุรศาสตร์ P6การจัดการเอกสารและจดหมายเหตู ม.ศิลปากร P7บรรณารักษศาสตร์ P9International communications P10บริหารธุรกิจมหานัทิต P11ศิลปะศาสตร์มหานัทิต (การทหาร) P12systems engineering P18ศิลปะศาสตร์มหานัทิต (ประวัติศาสตร์) P32 Information Systems P34การจัดการภาครัฐและภาคเอกชนมหานัทิต P35บรรณารักษศาสตร์และสารสนเทศศาสตร์ P36บริหารธุรกิจ P37เทคโนโลยีเพื่อการจัดการสิ่งแวดล้อม P41วิทยาศาสตร์มหานัทิต สาขาวิทยาการประกันภัย
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38. How long have you been working in this position?

#	Answer	Code	Response	%
1	1 – 5 year(s)	P1 P5 P8 P9 P10 P12 P15 P16 P21 P22 P25 P30 P32 P34 P37 P38 P39 P40 P42 P43	20	45.45%
2	6 – 10 years	P11 P35	2	4.55%
3	11 – 15 years	P13 P18 P20	3	6.81%
4	16 – 20 years	P26 P27 P33	3	6.81%
5	more than 20 year(s)	P2 P3 P6 P7 P14 P17 P19 P23 P24 P28 P29 P31 P36 P41	14	31.82%
6	Blank	P4 P44	2	4.55%
	Total		44	100%

39. Are you willing to be interviewed for any further data collection in this research?

#	Answer	Code	Response	%
1	Yes	P1(text response) P3(text response) P5(text response) P6(text response) P7(text response) P8(text response) P12(text response) P14(text response) P16(text response) P19(text response) P27(text response) P28(text response) P29(text response) P33(text response) P34(text response) P35(text response) P36(text response) P39(text response)	18	40.91%
2	No	P9 P10 P11 P15 P17 P18 P20 P21(text response) P22 P23 P24(text response) P25 P26 P31 P32 P37 P38 P40 P41 P42 P43 P44	22	50%
3	Blank	P2 P4 P13 P30	4	9.09%
	Total		44	100%